


November 28, 2006

		<p>November 28, 2006 10:00 AM – 12:00 PM</p> <p>SACOG 1415 L Street, Suite 300 Sacramento, CA 95814 Contact: José Luis Cáceres (916) 340-6218</p>	
		<p>Meeting called by: Rachel Falsetti Facilitator: Abhijit Bagde Recorder/Time Keeper: Tracy Hendrickson</p>	
		Agenda Topics	
Item	Description	Time	Presenter
1	Topics/Agenda/Introductions	10:00	Abhijit Bagde
2	Ground Rules	10:05	Abhijit Bagde
3	Approval of the 10/10/2006 CFPG meeting minutes	10:10	Abhijit Bagde
4	Announcements and updates	10:15	All
5	<p>Follow-Up Items from last meeting:</p> <ol style="list-style-type: none"> 1. Caltrans will take the lead in setting a meeting with Caltrans Local Assistance and FHWA re: the programming of non-constructible projects. - Update 2. Caltrans will send Annual Listings of Obligated Projects for FY 2005/06 to MPOs – Item completed. 3. FHWA will send information on web cast for financial summary template – Item completed. 4. FHWA to provide guidance on programming of safety projects if TIP amendments for safety projects can be processed if the TIP and Plan are not SAFETEA-LU compliant. 	10:20	CT/FHWA
6	SAFETEA-LU Gap Analyses by MPO	10:25	Steve Luxenberg
7	New CMAQ Guidance and 2006 Annual Report	10:45	Cathy Gomes
8	Infrastructure Bond and its impact on FTIPs/ MPO amendment schedules	10:55	Rachel Falsetti
9	RTP Guidelines - Update	11:20	Juven Alvarez
10	Programming of carryover projects into 2007 FTIPs	11:25	Steve Luxenberg

11	FHWA Resource Center Financial Template (handout)	11:35	Steve Luxenberg
12	Follow-up Items and Open Forum:	11:45	Abhijit Bagde
13	Meeting dates and locations for 2007: <u>Date</u> <u>Place</u> January 9 MTC February 20 Caltrans, Sacramento April 3 FHWA, Sacramento May 15 SACOG June 26 Caltrans, Sacramento	11:50	All

CALIFORNIA FEDERAL PROGRAMMING GROUP (CFPG)
MEETING MINUTES – November 28, 2006

The CFPG meeting was held at the Sacramento Area Council of Governments (SACOG) in Sacramento from 10:00 a.m. to 11:50 a.m.

1. Topics/Agenda/Introduction:

The meeting started with the self-introduction of attendees.

2. Ground Rules:

Abhijit Bagde, Caltrans, Federal Programming, went over the ground rules for the meeting:

- Since there are phone participants, everyone who speaks should state his/her name and agency.
- Keep comments as brief as possible.
- Stick to the current agenda item. Additional items not in the agenda will be added to the end and will be discussed if time permits.
- Turn off cell phones and limit interruptions.
- This is a forum to hear everyone's concerns, comments and suggestions. Please make sure your voice is heard.
- Facilitator to ask before moving on to the next item if anyone on the phone has any additional comments on the item, then pause for a few seconds.
- Respond to follow-up items and meeting notices by the deadlines.
- Except for follow-up items, the minutes will include discussions that take place during the meeting only. If you do not want what you say during the meeting included in the minutes, state "off the record."
- When not speaking, phone participants to keep their phones on mute if possible.

3. Approval of October 10, 2006 CFPG Meeting Minutes:

The meeting minutes for October 10, 2006, were approved with no changes.

4. Announcements and updates:

- Acknowledgement of Mark Reynolds

5. Follow-up items from prior meeting:

1. Barry Leaming, Caltrans, Local Assistance, held a meeting with FHWA and several MPOs regarding the programming of non-constructible projects. An action plan is being developed to provide guidance. The guidance should be available in early 2007. Updates of the plan will be provided at the CFPG meetings for review before it is finalized.

2. Caltrans will send Annual Listings of Obligated Projects for FY 2005/06 to MPOs – Item Completed.
3. FHWA will send information on web case for financial summary template – Item Completed.
4. Wade Hobbs, FHWA, stated there have been changes in program requirements regarding safety projects:

The previous regulations permitted projects funded under Section 402 of Title 23 United States Code to be excluded from the FTIP/FSTIP. The proposed Planning regulations would permit Commercial Vehicle Safety Plan (49 USC 31102) projects to be excluded from the FTIP/FSTIP but is silent on Section 402 funded projects. The intent, in preparing the proposed regulations, was to permit the projects funded under the provisions of either 23 USC 402 or 49 USC 31102 to be excluded from the TIP/STIP.

6. SAFETEA-LU Gap Analyses by MPO:

Steve Luxenberg, FHWA, stated a letter has been sent to Caltrans and the MPOs from the California Division, requesting a gap analysis. Look at the NPRM for planning regulations and what is needed to be SAFETEA-LU compliant. It was advised to look at the SAFETEA-LU Act for additional insight. FHWA is trying to identify where gaps may be.

7. New CMAQ Guidance and 2006 Annual Report:

Cathy Gomes, Caltrans, Federal Programming, requested MPOs to input CMAQ projects in the tracking system by December 28, 2006. There will be a teleconference regarding inputting projects with FHWA if requested. Send Cathy an email if interested. A handout was provided showing the changes from prior to present CMAQ Program Guidance. Send any questions regarding the guidance to Cathy.

E-mail Address: Cathy.Gomes@dot.ca.gov

8. Infrastructure Bond and its impact on FTIPs/MPO amendment schedules:

Rachel Falsetti, Caltrans, Federal Programming, stated the CTC STIP augmentation and CMIA schedules are being put together and requested each MPO's schedule of when their TIPs will be amended for inclusion of projects from STIP augmentation and CMIA. CTC's meeting date is June 7, 2007 for adoption of projects from STIP augmentation. MPO boards need to approve amendments around the June 7, 2007, date as you may not be able to amend projects in the TIP after that. Caltrans will need the draft amendments for these projects no later than April 15, 2007.

Steve Luxenberg, FHWA, stated they needed to know all questions regarding this issue and they can be addressed in a later meeting. FHWA's position may be clarified by the next CFPG meeting. FHWA is requesting amendments be submitted by June 1, 2007.

Abhijit Bagde, Caltrans, requested everyone to respond to the amendment schedule survey.

9. RTP Guidelines - Update:

Juven Alvarez, Caltrans, Planning, stated a resource agency list has been sent out and requested feedback on it. There are draft summaries on the RTP Guidelines and internal discussions taking place. There will be no RTP Guidelines until the feds adopt a final rule.

10. Programming of carryover projects into 2007 FTIPs:

Steve Luxenberg, FIIWA, stated the following regarding project funding that was not obligated in the previous FTIP:

- (1) Full funding for each phase should be programmed in the year it is expected to be obligated. EPSP can then be used to obligate a phase in a different year than programmed, if needed.
- (2) Any carryover of previously voted but not obligated funding from the prior year should be moved to the current triennial period before they can be considered available for obligation.
- (3) FHWA will not authorize an E-76 if the funding is not programmed in the current triennial period.

Wade Hobbs, FHWA, stated when doing amendments, send the back-up list for grouped project listings as well. This makes the 100% verification process faster.

11. FHWA Resource Center Financial Template:

Abhijit Bagde, Caltrans, sent an e-mail to everyone with the template attached. FHWA's Resource Center would like feedback on it by Friday, December 8, 2006. Send any comments to Steve Luxenberg.

12. Open Forum & Follow Up Items:

Steve Luxenberg provided a "Transportation Planning and Asset Management" pamphlet to everyone.

Rachel Falsetti, announced a steering committee is starting regarding SAFETEA-LU. They are looking to do a clean up bill for the Act.

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|---|----------------------|
| 1. FHWA to send information on the safety projects. | By next CFPG meeting |
| 2. MPOs to send response to survey regarding their schedule on amending projects funded from the recently approved transportation bond. | ASAP |
| 3. Provide information on proposed Stewardship Agreement between Caltrans and FHWA. | By next CFPG meeting |
| 4. Send comments re: FHWA Resource Center Financial Template to Steve Luxenberg. | ASAP |

13. Next Meeting Information:

The next CFPG meeting will be held on Tuesday, January 9, 2007, at the Metropolitan Transportation Commission (MTC) in Oakland.

Handout for Item No. 7

proposal to be effective and operative upon filing with the Commission.¹⁹

At any time within 60 days of the filing of the proposed rule change, the Commission may summarily abrogate such rule change if it appears to the Commission that such action is necessary or appropriate in the public interest, for the protection of investors, or otherwise in furtherance of the purposes of the Act.²⁰

IV. Solicitation of Comments

Interested persons are invited to submit written data, views, and arguments concerning the foregoing, including whether the proposed rule change is consistent with the Act. Comments may be submitted by any of the following methods:

Electronic Comments

- Use the Commission's Internet comment form (<http://www.sec.gov/rules/sro.shtml>); or
- Send an e-mail to rule-comments@sec.gov. Please include File Number SR-Phlx-2006-73 on the subject line.

Paper Comments

- Send paper comments in triplicate to Nancy M. Morris, Secretary, Securities and Exchange Commission, 100 F Street, NE., Washington, DC 20549-1090.

All submissions should refer to File Number SR-Phlx-2006-73. This file number should be included on the subject line if e-mail is used. To help the Commission process and review your comments more efficiently, please use only one method. The Commission will post all comments on the Commission's Internet Web site (<http://www.sec.gov/rules/sro.shtml>). Copies of the submission, all subsequent amendments, all written statements with respect to the proposed rule change that are filed with the Commission, and all written communications relating to the proposed rule change between the Commission and any person, other than those that may be withheld from the public in accordance with the provisions of 5 U.S.C. 552, will be available for inspection and copying in the Commission's Public Reference Room. Copies of the filing also will be available for inspection and copying at the principal office of the Phlx. All comments received will be posted

without change; the Commission does not edit personal identifying information from submissions. You should submit only information that you wish to make available publicly. All submissions should refer to File Number SR-Phlx-2006-73 and should be submitted on or before December 12, 2006.

For the Commission, by the Division of Market Regulation, pursuant to delegated authority.²¹

Nancy M. Morris,

Secretary.

[FR Doc. E6-19623 Filed 11-20-06; 8:45 am]

BILLING CODE 8011-01-P

DEPARTMENT OF TRANSPORTATION 4910-22-P

Federal Highway Administration

[Docket No. FHWA-2006-26363]

Agency Information Collection

Activities: Request for Comments for a New Information Collection

AGENCY: Federal Highway Administration (FHWA), Department of Transportation (DOT).

ACTION: Notice and request for comments.

SUMMARY: The FHWA invites public comments about our intention to request the Office of Management and Budget's (OMB) approval for a new information collection, which is summarized below under Supplementary Information. We are required to publish this notice in the **Federal Register** by the Paperwork Reduction Act of 1995.

DATES: Please submit comments by January 22, 2007.

ADDRESSES: You may submit comments identified by DOT DMS Docket Number FHWA-2006-26363 by any of the following methods:

- Web site: <http://dms.dot.gov>.
- Follow the instructions for submitting comments on the DOT electronic docket site.
- Fax: 1-202-493-2251
 - Mail: Docket Management Facility; U.S. Department of Transportation, 400 Seventh Street, SW., Nassif Building, Room PL-401, Washington, DC, 20590-0001.

- Hand Delivery: Room PL-401 on the plaza level of the Nassif Building, 400 Seventh Street, S.W., Washington, DC, 20590-0001 between 9 a.m. and 5 p.m., Monday through Friday, except Federal holidays.

Docket: For access to the docket to read background documents or

comments received, go to <http://dms.dot.gov> at any time or to Room 401 on the plaza level of the Nassif Building, 400 Seventh Street, SW., Washington, DC, 20590, between 9 a.m. and 5 p.m., Monday through Friday, except Federal holidays.

FOR FURTHER INFORMATION CONTACT:

Michael Koontz, 202-366-2076, or Robert Kafalenos, 202-366-2079, Office of Natural and Human Environment, Federal Highway Administration, Department of Transportation, 400 Seventh Street, SW., Washington, DC, 20590. Office hours are from 8 a.m. to 5 p.m., Monday through Friday, except Federal holidays.

SUPPLEMENTARY INFORMATION:

Title: Annual Reporting for the Congestion Mitigation and Air Quality Improvement (CMAQ) Program.

Background: Section 1808 of the Safe, Accountable, Flexible, Efficient Transportation Equity.

Act: A Legacy for Users of 2005 (SAFETEA-LU) calls for an Evaluation and Assessment of CMAQ Projects. The statute calls for the identification and analysis of a representative sample of CMAQ projects and the development and population of a database that describes the impacts of the program both on traffic congestion levels and air quality. To establish and maintain this database, the FHWA is requesting States to submit annual reports on their CMAQ investments that cover projected air quality benefits, financial information, a brief description of projects, and several other factors outlined in the Interim Program Guidance for the CMAQ program. States are requested to provide the end of year summary reports via the automated system provided through FHWA by the first day of February of each year, covering the prior Federal fiscal year.

Respondents: 51; each State DOT, and Washington DC.

Frequency: Annually.

Estimated Average Burden per Response: 6 hours per annual report.

Estimated Total Annual Burden Hours: 306 hours.

Public Comments Invited: You are asked to comment on any aspect of this information collection, including: (1) Whether the proposed collection is necessary for the FHWA's performance; (2) the accuracy of the estimated burdens; (3) ways for the FHWA to enhance the quality, usefulness, and clarity of the collected information; and (4) ways that the burden could be minimized, including the use of electronic technology, without reducing the quality of the collected information. The agency will summarize and/or

¹⁹ For the purposes only of accelerating the operative date of this proposal, the Commission has considered the proposed rule's impact on efficiency, competition, and capital formation. 15 U.S.C. 78c(f).

²⁰ See 15 U.S.C. 78s(b)(3)(C).

²¹ 17 CFR 200.30-3(a)(12).

include your comments in the request for OMB's clearance of this information collection.

Authority: The Paperwork Reduction Act of 1995; 44 U.S.C. Chapter 35, as amended; and 49 CFR 1.48.

Issued on: November 15, 2006.

James R. Kabel,

Chief, Management Programs and Analysis Division.

[FR Doc. E6-19683 Filed 11-20-06; 8:45 am]

BILLING CODE 4910-22-P

DEPARTMENT OF TRANSPORTATION

Federal Highway Administration

Notice of Federal Agency Actions on Proposed Transportation Project in Ohio

AGENCY: Federal Highway Administration (FHWA), DOT.

ACTION: Notice of Limitation on Claims for Judicial Review of Actions by FHWA and Other Federal Agencies.

SUMMARY: This notice announces actions taken by the FHWA and other Federal Agencies that are final within the meaning of 23 U.S.C. 139(l)(1). The actions relate to a proposed highway project, U.S. Route 24, from U.S. Route 6 near the City of Napoleon in Henry County to just west of Interstate Route 475 near the City of Toledo in Lucas County in the State of Ohio. The Federal actions, taken as a result of an environmental review process under the National Environmental Policy Act, 42 U.S.C. 4321-4351 (NEPA), determined certain issues relating to the proposed project. Those actions grant licenses, permits, and approvals for the project.

DATES: By this notice, the FHWA is advising the public that it has made decisions that are subject to 23 U.S.C. 139(l)(1) and are final within the meaning of that law. A claim seeking judicial review of the Federal agency decisions on the proposed highway project will be barred unless the claim is filed on or before May 21, 2007. If the Federal law that authorizes judicial review of a claim provides a time period of less than 180 days for filing such claim, then that shorter time period still applies.

FOR FURTHER INFORMATION CONTACT: For FHWA: Mr. Mark L. Vonder Embse, P.E., Senior Transportation Engineer, Federal Highway Administration, 200 North High Street, Columbus, Ohio, 43215; e-mail:

mark.vonderembse@fhwa.dot.gov; telephone: (614) 280-6854; FHWA Ohio Division Office's normal business hours are 8 a.m. to 4:30 p.m. (eastern time).

You also may contact Mr. W. Michael Ligibel, Ohio Department of Transportation, 317 East Poe Road, Bowling Green, Ohio 43402; telephone: (419) 353-8131.

SUPPLEMENTARY INFORMATION: Notice is hereby given that the FHWA has issued a Record of Decision (ROD) for the following highway project in the State of Ohio: U.S. Route 24, from U.S. Route 6 near the City of Napoleon in Henry County to west of Interstate Route 475 near the City of Toledo in Lucas County. The project will be a 21.8 mile long, four-lane divided limited access highway on new alignment. It will begin east of the existing Napoleon bypass. It will then proceed in an easterly and northeasterly direction passing to the south of the community of Liberty Center and staying north of the existing U.S. Route 24, and west and north of the Village of Waterville. The improvements will end at the existing 4-lane divided section of U.S. Route 24 southwest of the existing U.S. Route 24 and Stitt Road interchange. The actions by the Federal agencies, and the laws under which such actions were taken, are described in the Draft Environmental Impact Statement (DEIS) for the project, approved on September 8, 2004, in the Final Environmental Impact Statement (FEIS) for the project, approved on March 31, 2006, in the FHWA Record of Decision (ROD) issued on September 15, 2006, and in other documents in the FHWA administrative record. The DEIS, FEIS, ROD, and other documents in the FHWA administrative record file are available by contacting the FHWA or the Ohio Department of Transportation at the addresses provided above. The FHWA DEIS, FEIS, and ROD can be viewed at the Toledo-Lucas County Public Library-Maumee Branch, Toledo-Lucas County Public Library-Main Branch, Liberty Center Public Library, Napoleon Public Library, Toledo-Lucas County Public Library, Toledo Metropolitan Area Council of Governments, Henry County Engineer's Office, Lucas County Engineer's Office, and the ODOT District Two Office.

This notice applies to all Federal agency decisions that are final within the meaning of 23 U.S.C. 139(l)(1) as of the issuance date of this notice and all laws under which such actions were taken, including but not limited to:

1. *General:* National Environmental Policy Act (NEPA), 42 U.S.C. 4321-4351; Federal-Aid Highway Act, 23 U.S.C. 109 and 23 U.S.C. 128.
2. *Air:* Clean Air Act, 42 U.S.C. 7401-7671(q).
3. *Land:* Section 4(f) of the Department of Transportation Act of

1966, 49 U.S.C. 303 and 23 U.S.C. 138; Landscaping and Scenic Enhancement (Wildflowers), 23 U.S.C. 319.

4. *Wildlife:* Endangered Species Act [16 U.S.C. 1531-1544 and 1536], Fish and Wildlife Coordination [16 U.S.C. 661-667(d)], Migratory Bird Treaty Act [16 U.S.C. 703-712].

5. *Wetlands and Water Resources:* Land and Water Conservation Fund (LWCF), 16 U.S.C. 4601-4604; Safe Drinking Water Act (SDWA), 42 U.S.C. 300(f)-300(j)(6); Wild and Scenic Rivers Act, 16 U.S.C. 1271-1287; Emergency Wetlands Resources Act, 16 U.S.C. 3921, 3931; TEA-21 Wetlands Mitigation, 23 U.S.C. 103(b)(6)(m), 133(b)(11); Flood Disaster Protection Act, 42 U.S.C. 4001-4128.

6. *Historic and Cultural Resources:* Section 106 of the National Historic Preservation Act of 1966, as amended, 16 U.S.C. 470(f) *et seq.*; Archeological Resources Protection Act of 1977 [16 U.S.C. 470 (aa)-11]; Archeological and Historical Preservation Act [16 U.S.C. 469-469(c)]; Native American Grave Protection and Repatriation Act (NAGPRA) [25 U.S.C. 3001-3013].

7. *Social and Economic:* Civil Rights Act of 1964 [42 U.S.C. 2000(d)-2000(d)(1)]; American Indian Religious Freedom Act [42 U.S.C. 1996]; Farmland Protection Policy Act (FPPA) [7 U.S.C. 4201-4209].

8. *Executive Orders:* E.O. 11990 Protection of Wetlands; E.O. 11988 Floodplain Management; E.O. 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low Income Populations; E.O. 11593 Protection and Enhancement of Cultural Resources; E.O. 13007 Indian Sacred Sites; E.O. 13287 Preserve America; E.O. 13175 Consultation and Coordination with Indian Tribal Governments; E.O. 11514 Protection and Enhancement of Environmental Quality; E.O. 13112 Invasive Species.

(Catalog of Federal Domestic Assistance Program Number 20.205, Highway Planning and Construction. The regulations implementing Executive Order 12372 regarding intergovernmental consultation on Federal programs and activities apply to this program.)

Authority : 23 U.S.C. 139(l)(1).

Issued on: October 30, 2006.

Patrick A. Bauer,

Assistant Division Administrator, Columbus, Ohio.

[FR Doc. E6-19632 Filed 11-20-06; 8:45 am]

BILLING CODE 4910-22-P

Handout for Item No. 11

Revenue Sources and Forecasting

Draft White Paper

MTC Fiscal Constraint Case Study: Revenue Phase Findings and Recommendations

Submitted to FHWA California Division Office, July 19, 2006 (Revised 8/30/06)

Submitted by

Planning Technical Service Team

Brian Betlyon

Lisa Randall

■ Summary

This draft White Paper summarizes initial findings and recommendations on revenue sources and forecasting for the Metropolitan Transportation Council (MTC), the Metropolitan Planning Organization (MPO) for the nine-county San Francisco Bay area. It is presented to the FHWA California Division staff as part of a larger Fiscal Constraint/Financial Planning project using MTC as a case study.

This White Paper focuses on the revenue side of the project and results from the initial 8-month research effort conducted by the Planning Technical Services Team of the FHWA Resource Center. The effort, which began in August 2005, included a literature review, case study research and phone/personal interviews of individuals in the following transportation organizations: FHWA California Division, MTC, Caltrans (District 4 and Headquarters staff), and the congestion management agencies/transportation authorities for the counties of Sonoma, Santa Clara, Alameda and Contra Costa.

The White Paper begins with a general assessment of the MTC approach to revenue sources and forecasting and then highlights noteworthy findings in the areas of process, documentation and tools, followed by a review of opportunities in each of these areas. A discussion of potential next steps is also presented for consideration by the FHWA California Division, MTC and Caltrans.

As a result of this research, a set of consideration factors/checklist pertaining to revenue sources and forecasting will be developed. This will be submitted in conjunction with the draft revenue "template" and can be used by the California Division in reviewing financial information in TIPs and RTPs. It can also be used by MPOs within California to assess their current approaches to revenues as part of fiscal constraint activities.

General Review of Revenues and Fiscal Constraint Requirements

The fiscal constraint requirement in the Federal metropolitan planning statutes entails an analysis of revenues and costs. The basic question to be answered is: "Will the revenues (Federal, State, local, and private) identified in the TIP, STIP, or metropolitan long-range transportation plan cover the anticipated costs of the projects included in this TIP, STIP, or metropolitan long-range transportation plan, along with operation and maintenance of the existing system?"

If the projected revenues are sufficient to cover the costs, and the estimates of both revenues and costs are reasonable, then the fiscal constraint requirement has been satisfied. A key challenge is determining the availability and sufficiency of current and projected revenues, and the strategies that will ensure these. Effective documentation of revenues in the financial plan for the

Transportation Improvement Program (TIP) and Long Range Transportation Plan (LRTP) will assist in making this determination.

From a national perspective, MPOs seem better at adequate documentation of revenue forecasting than cost estimation. Revenues that are expected to be received from the Federal government over the course of 20-25 years are generally described by funding or grant category. For example, typical categories are Surface Transportation Program (STP) or Congestion Mitigation and Air Quality (CMAQ), or Federal Transit Administration Discretionary or Formula funds.

Nationally, an examination of State revenue sources displays somewhat less detailed assumptions and information. However, in California, where State revenues are a more important piece of the puzzle, more detailed information becomes critical. For example, in the San Diego Association of Governments (SANDAG) 2030 constrained MTP, State revenue forecasts exceed Federal dollars by 80%.

Information on local revenues is the most limited in many cases. However, in California one finds that the prominence of local funding for revenue projections is vital as these funds account for the majority of long-range revenue fund estimates. For example, that same SANDAG constrained 2030 MTP assumes that local revenues will account for nearly 66% of the total expected revenues for implementation of the Plan. Similarly, the 2001 Regional Transportation Plan for the San Francisco Bay area displays a local funding share of 59%. Revenues from private sources are another potential source for documentation.

Noteworthy Findings

The revenue piece of the MTC Case Study project focused on the following: 1) review of the documentation for current and proposed revenue sources and strategies to ensure they are “available and committed” by MTC and state and local partners for the TIP and RTP; 2) review of methodology, approaches and assumptions used in revenue forecasting; 3) assessment of the process for determining the level and distribution of revenue sources within the MTC region; and 4) use of innovative financing approaches and tools.

In general, our findings indicate that MTC is doing a credible job in identifying revenue sources, forecasting the availability of those sources and documenting the relevant assumptions for long-range planning purposes.

An initial revenue “gap analysis” table has also been developed and is included in Appendix A of this report. It is expected that this table will continue to be refined throughout the subsequent phases of the project.

Revenue Source and Forecasting Documentation

- *RTP Documentation of Revenue Sources:* MTC's latest Plan includes a 5-page analysis of funding and financial issues. It also briefly describes financial assumptions behind the Plan. The RTP's accompanying technical report, the Project Notebook, provides more in-depth detail and provides specific information on the federal (FHWA/FTA), state, regional, and local funding sources and the assumptions behind each of these. This is done for both the fiscally constrained element of MTC's Plan as well as a broader "vision" element. Detailed information on local sales tax measures was not included in the Project Notebook, although such information is readily available from the county congestion management/transportation authorities. A supporting summary table provides a clear and effective presentation for each revenue source, technical assumptions (including data sources and growth rates) and projected baseline revenue.
- *RTP Approach to "Reasonably Available" Revenue Sources:* Based on interviews with MTC staff and as documented in their RTP, MTC takes a fairly conservative approach in determining reasonably available revenue sources. Revenues from local tax measures are included up to their sunset date. Other new revenue sources, where strategies and approach may have been identified, but were still in "development" were not included in the "fiscally constrained" element of the RTP and were clearly identified as only supporting the "vision" element. These included new authorities for regional gas fees, registration fees, projected revenues from future HOT lanes, and local sales tax measures not yet receiving voter approval by the time of the Plan adoption.
- *RTP Documentation of Revenue Forecasting, Assumptions and Methodologies:* The Project Notebook includes both a narrative and table format that includes information on the base year, data source, growth rate and assumption base for each revenue source. Federal, state, regional and local sources are separately subtitled. Detailed information on the specific revenue forecasting technique is not included for all sources in this public document, although MTC maintains that internally. Financial analyses for transit operators are also included in the Project Notebook, and include information on state and federal transit funding sources as well as operator fare revenues.
- *TIP Documentation of Revenue Sources:* MTC includes a guide to accompany its most recent Transportation Improvement Program (TIP) on its website. In the 2005 TIP Guide, MTC specifically indicates which revenue/funding sources are being utilized to demonstrate fiscal constraint. A financial summary of each funding source (narrative and table format) is included. Tables indicate the amount available for programming and the amount programmed by source for the specific years of the TIP. Sources or programs where funding levels were uncertain are not included (for example, the Traffic Congestion Relief Program (TCRP) state funds were not included in the 2005 TIP).

- *TIP Documentation of Revenue Forecasting, Assumptions and Methodologies:* MTC's 2005 TIP references the Transportation 2030 Plan. The Plan and the supporting Project Notebook contain the information on assumptions and methodologies by revenue source.
- *Dollar Valuation:* All funding sources were presented in 2004 dollars for MTC's latest Plan (Transportation 2030), representing a 25 year period between 2004 and 2029. A 3.5% inflation rate was assumed for the time period, based on a historic analysis of the Consumer Price Index (CPI) for the Bay Area. MTC believes the use of constant dollars for financial planning purposes is an aid to understanding by decision-makers and the public.

Revenues and Planning Processes

- *Bay Area Partnership Group* – The Bay Area Partnership is led by MTC and includes representatives from federal and state agencies, county congestion management agencies, transit operators, public works representatives as well as other regional representatives. The Partnership has numerous committees and task forces and helps lead the development of both the Plan and TIP in the MTC region. Discussions of revenue approaches, sources, strategies and forecasts are discussed through the Partnership or its committees (in particular the Partnership Technical Advisory Group or PTAC) on a periodic or as-needed basis. It has provided a forum for the cooperative discussion of revenues and funding issues.
- *Local Streets and Roads Subcommittee* – This MTC sub-committee develops needs, costs and shortfalls for local roads and meets monthly with representatives from MTC and the regional city and county representatives. It was established in the 1980s at the request of county public works directors who were concerned with the revenue shortfalls to address the needs of 19,000 miles of local streets and roads in the MTC region. The committee now conducts periodic surveys of infrastructure inventories, expenditures and revenue sources. (See more detail on survey under next section.) The committee also conducts training in advance of the survey to ensure consistency in reporting by the various jurisdictions. Interviews with the locals noted overall praise for the work of this subcommittee.

Innovative Revenue Approaches and Tools

- *Local Streets and Roads Needs and Revenue Analysis Survey:* As part of the analysis for MTC's Transportation 2030 Plan development, revenue analysis to fund local streets and roads had to be done. MTC estimated the amount of revenues from the state gas tax, local sources, county sales tax measures and California Proposition 42. This was an important change from previous efforts for earlier plans where MTC had relied on data from California's Comptroller to estimate revenue available for local

streets and roads. Through coordination with the region's public works directors, MTC determined that the Comptroller's revenue estimates were artificially high to maintenance data that was being tabulated. In response, MTC now conducts periodic surveys of its local jurisdictions to obtain information on needs as well as expenditures on local streets and roads by specific categories as well as revenues by source. This has allowed MTC to determine how much of local street and road revenue comes from gas tax, sales tax measures or other local sources, and has allowed them to apply the appropriate growth rates to each revenue source, rather than a more aggregated and less accurate growth rate.

Areas of Opportunity

FHWA appreciates the coordination and support by MTC, county agencies and Caltrans during this initial research phase. In particular, FHWA appreciates MTC's willingness to serve as the "case study" MPO for the project. It is clear there are many noteworthy approaches already underway by MTC in regard to revenues. Many of these have potential applicability for greater use in California and potentially on a national basis. Some of these may be applicable to MTC while others would benefit from Caltrans leadership on a statewide level. Therefore, the following opportunities are offered:

Opportunities: Revenues and Planning Processes

- *Enhancement of Existing Interagency Revenue Discussions.*
- *Further Review of Options for Public/Private Partnerships for Funding in the Bay Area.* The SAFETEA-LU legislation includes some new provisions that will enable public funds to be leveraged with millions more in private investment. These new tools include private activity bonds, enhanced authority to use tolls to construct interstate highways and increased flexibility in using design-build contracting mechanisms.
- *Examination of Uses of Toll Revenues from HOT/Managed Lanes in Region:* for example, I-680 Project in the Bay Area. A Joint Powers Agency (JPA), enabled by State legislation, will be responsible for design, implementation and operation of this particular project. More information available at www.680smartlane.org

Opportunities: Revenue Source and Forecasting Documentation

- *Enhancement of Revenue Source Documentation in Plan and TIP:* While there is a good level of technical detail in the Project Notebook that documents revenue sources, there could be additional information provided regarding the RTIP/ITIP, and regional and local funding sources.

- *Enhancement of Revenue Forecasting Approaches and Methodology in Plan and TIP:* While there is a good level of information on revenue sources, there is more limited information describing the specific revenue forecasting techniques and supporting assumptions in the publicly available MTC Plan and TIP documents. Technical or working documents which detail these methods and assumptions should be readily footnoted and available for review.
- *Discussion of Strategies to Ensure Adequate Revenue Sources and Address Fiscal Shortfalls:* A greater level of proactive discussion of potential strategies to address fiscal shortfalls may be beneficial. This was somewhat limited in the MTC RTP.

Opportunities: Innovative Revenue Approaches and Tools

- *Development of Caltrans Revenue Sources and Forecasting Guidebook:* The FHWA Resource Center and the FHWA California Division can work with Caltrans to collect existing guidance, and enhance with the revenue forecasting template and technical documentation resulting from this study, to produce a document applicable to all California MPOs.
- *Periodic Convening of California Revenue (Funding and Innovative Financing) Conferences/Workshops:* The FHWA Resource Center Planning and Finance Technical Service Teams can work with the FHWA California Division and Caltrans to plan such an event.
- *Development of a Revenue Forecasting template as a tool to foster a consistent identification and reporting process for RTP preparation amongst the MPOs in California.* (a deliverable to follow this paper)

Transferable Ideas/Approaches in California

Based on research thus far, notable approaches and practices in use by MTC have been highlighted above. We believe that many of these techniques could similarly be employed by other MPOs within California, at an appropriate level of scale. A cursory review of TIPs and LRTPs for California MPOs indicated that some of the larger MPOs may be utilizing some of these approaches. A self-assessment by the MPOs may reveal opportunities for further enhancements with their approaches to revenues and fiscal constraint. We also believe some of the noteworthy findings could be employed by the state's smaller and mid-sized MPOs without a significant burden.

In addition, as Caltrans is currently in the process of updating its guidelines for development of State RTPs, there is an opportunity to put more examples and documentation into that manual than in previous versions.

Recommendations for the FHWA CA Division & Caltrans

Good examples and dissemination of “notable practices” help demonstrate where things are working well, and also identify opportunities for transfer to other MPOs or Caltrans. The California Division may wish to consider how to disseminate information on such practices and encouragement approaches. At the same time, despite the many positive findings pertaining to revenue sources and forecasting for MTC, there is always room for improvement at all levels of transportation planning agencies. Draft recommendations are outlined below.

Recommendations on Revenue Processes for FHWA California Division

Consider Approaches to Share Information on Identification of Revenue Sources and MTC Project (Revenue Phase) Throughout the State: – Several existing planning and programming forums (such as the CFPG), may be appropriate to disseminate the existing findings of the project. It may be helpful to have MTC discuss some of their specific approaches to revenue process, documentation and tools at greater detail during such meetings. An alternative to delivering such information in person is to do this via a Breeze webinar. The Resource Center could assist as a facilitator or discuss specific findings, if the Division felt that would be helpful.

Consider Sponsoring a Workshop on Innovative Financing Options for California Planning and Programming Specialists- While the crisis in transportation funding and financing in California has recently diminished, the future of transportation will focus on different approaches to funding and financing. California is ahead of most of the country in passing and employing local revenue sources (“self help” counties). However, even these sources will be insufficient to address fiscal shortfalls in the future. New opportunities in tolling and value pricing may be approaches for some regions to consider, along with other forms of public/private partnerships. It may be helpful to update California stakeholders on some of these changes and different tools. The Resource Center Innovative Finance Team could be solicited for convening of such training.

Consider Peer Exchange/Roundtable with SANDAG and MTC (and possibly other MPOs) – Both MTC and SANDAG have a number of noteworthy practices and approaches in the area of revenues. There may be some benefit in convening a peer exchange or roundtable where some of their experiences could be shared with other California MPOs, particularly the smaller and mid-sized agencies. In addition, SANDAG’s experience with innovative financing on several projects may have applicability to other regions.

Consider Encouraging Caltrans to Add Additional Information on Revenues and Fiscal Constraint to Their RTP Guidelines – Encourage Caltrans to develop a Revenue Forecasting Handbook or convene periodic statewide meetings on revenues – (See recommendation for Caltrans below.)

Recommendations on Revenues for Caltrans

Consider Addition of Further Documentation on Revenues and Fiscal Constraint to RTP Guidelines

Develop Statewide Revenue Forecasting Handbook and/or Convene Periodic Statewide Meetings on Revenue Sources and Forecasting (See Revenue Forecasting Handbook from Florida DOT as an example: <http://www.dot.state.fl.us/planning/policy/pdfs/RevHandbk.pdf>)

Appendix A: Revenue “Gap Analysis” Table for California MPOs

PROCESS	REQUIREMENT	ENHANCED STATE OF THE PRACTICE
Plan/TIP Revenue Forecasts	MPO, State DOT and transit agency cooperatively develop estimates of funds	MTC Bay Area Partnership
DOCUMENTATION	REQUIREMENT	ENHANCED STATE OF THE PRACTICE
Identification and Description of Revenue Sources and Assumptions	Revenues (Federal, State, local and private) are identified to implement the Plan/TIP	<ul style="list-style-type: none"> Revenues are documented in general discussion in 2030 RTP and more specific details provided in supporting “Project Notebook” At a minimum, revenue estimates are displayed in 5 year increments for RTP.
Assumption on interpretation of dollars, i.e., year of expenditure or constant	None	Use of constant dollars
Addressing financial shortfalls	New funding sources that are “reasonably expected to be available” for the RTP	Detailed information on assumptions for innovative funding sources, such as

	must be identified	GARVEE, TIFIA, etc.
TOOLS	REQUIREMENT	ENHANCED STATE OF THE PRACTICE
Revenue Forecasting Template	None	Many examples from various MPO's; development of model template with suggested sources and format for consistent application by MPO's in CA will be a product of this study

Bibliography: (under development)

Revenue Sources and Forecasting

Technical Appendix:

Revenue Documentation

MTC Fiscal Constraint Case Study: Proposal for Documentation of Funding and Financing Sources

Submitted to California Division Office, September 11, 2006.

Submitted by

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■ Introduction

This Paper provides several proposals and examples for documenting revenue information as part of a long range plan (or regional transportation plan (RTP) and Transportation Improvement Program (TIP), or Statewide Transportation Improvement Program (STIP or FSTIP in California.)

This proposal for an enhanced approach to revenue documentation is presented to the FHWA California Division staff as part of a larger Fiscal Constraint/Financial Planning project in partnership with the Metropolitan Transportation Commission (MTC, the Metropolitan Planning Organization (MPO) for the nine-county San Francisco Bay area). Information presented here is generally based on public information already disseminated by MTC, CALTRANS or the California Transportation Commission (CTC).

The documentation of revenue sources is a critical component of demonstrating fiscal constraint, both for the program and the long range plan. This proposal provides sample approaches for revenue documentation for the following: 1) detailed documentation of specific revenue sources in narrative format; 2) documentation of specific revenue sources in tabular format (Appendix A); 3) documentation of new revenue sources in tabular format (Appendix B); and 4) documentation of revenue source availability assumptions (Appendix C). In addition, the proposal concludes with a revenue assessment checklist in Appendix D. This checklist can be used as an organizational assessment tool to determine if appropriate revenue development process and the documentation of revenue sources in financial plans are sufficient.

At the present time, there are several approaches used to explain and document revenues in financial plans in California and across the nation. Revenue sources are often documented in narrative descriptions in the Plan, in supporting tables or in technical appendices. Whatever the approach, it is important that each of the major funding or financing categories that are presented in a data table be described in greater detail in a supplementary document. The documentation presented here serves as an example or illustrative model for other California MPOs. While the information presented here is based on MTC data and technical information, the focus is not on the specific data itself, but the format and approach that could be used.

In some cases, MTC presents information in even more detailed revenue categories. Some of these may be applicable only to the Bay area. Thus, more generic categories are proposed in some areas, especially local and regional revenue sources. In the sample table and sample narrative description, each funding/financing category is accompanied by a general description and a summary of key assumptions and a total level of expected funding.

Appendix B provides a proposal for documenting information on new revenue sources in a financial plan. This is presented in a table format, but such information could also be documented in a narrative approach in a financial plan. The key point is that information on specific strategies to achieve new revenue sources needs to be documented in a financial plan. Appendix C provides a supplementary table for documenting information on specific revenues, their availability assumptions and approaches for risk mitigation.

■ Technical Documentation: Points of Consideration

Appendix A and the following narrative section provide examples of presenting and documenting information for specific revenue sources. For each revenue source, information on data source, base year, assumption base, and growth rate are presented. These are from MTC's Project Notebook, Table 1-2 and from additional technical conversations with MTC staff. The Project Notebook is MTC's technical appendix to their Regional Transportation Plan for 2030. MTC's data and technical documentation are shown here only for illustrative purposes.

In addition, a new category of "description" has been added for all revenue sources. Descriptions for revenue sources were obtained from federal publications as well as MTC's report, "Moving Costs: A Transportation Funding Guide for the San Francisco Bay Area.

In the review/use of this proposed documentation, a few special points of consideration are important:

- In California, the CTC or California Transportation Commission (a state level panel appointed by the governor) releases the "Fund Estimate" every two years and the estimate covers a four year period. The Fund Estimate (FE) tells each region how much money it can expect to receive from various sources. This estimate is guided by statutory requirements that direct how the funds are divided up throughout the state. Within the CTC's State Transportation Improvement Program (STIP) allocation, are the federal funding categories of Interstate Maintenance (IM) and National Highway System (NHS). In California, IM and NHS federal funds cannot be separated from CTC's overall fund estimate and the resulting regional allocation from the STIP. For this reason, the federal categories of Interstate Maintenance (IM) and National Highway System (NHS) are not shown on the revenue data table under federal sources nor are specifically documented and described here.
- Although this technical documentation and template only support the revenue side of transportation finances, MPOs and states should ensure that they address debt service appropriately on the cost side of their financial analysis in other fiscal constraint documentation (i.e., if some innovative financing tools are used as a revenue source in year X; debt service on some of these loans will need to appear and be counted as a cost in year Y.)

- If a category of “other” is used in the revenue data table, it should be clearly defined in the revenue technical documentation. If multiple funding sources are being aggregated in “other”, the assumptions for each of these should be defined in the supporting revenue documentation.
- The category of “carryover” is only appropriate for the state revenue category, and is due to specific CTC allocation timing. If significant levels of “carryover” are occurring in out years for the long range plans, this should be carefully documented and explained.
- New federal funding programs (under SAFETEA-LU) are listed here and on the revenue data table, but supporting data and technical documentation are not provided as these were not available when MTC developed their Regional Transportation Plan for 2030.

■ Revenue Sources: Examples of Detailed Documentation

Revenues from multiple sources support long range transportation plans (or Regional Transportation Plans (RTPs). These include traditional funding sources from federal and state governments, a variety of sources from local and regional bodies and governments and more recently, innovative financing techniques. Each of these is described in specific detail. For the MTC 2030 RTP, all funding sources are presented in 2004 dollars.

Local Revenue Sources

Local government agencies have a variety of funding sources available to them for transportation improvements. A primary source is the general fund of cities and counties. Local or county sales taxes are another option. In the MTC region, several “self-help” counties have passed sales tax measures of varying amounts and with differing expiration timeframes. Other options include bonding arrangements which can include the creation of a redevelopment district, general obligation bonding, or a special improvement district organized for a specific project. In addition, city and county governments can also impose development or transportation impact fees on new residential and commercial development. In the MTC region, another source of local and regional funds is tolls, currently from the area’s bridges, but in the future, potentially from tolled corridors (such as I-680)

Sales Tax Measures (City): Description: Includes sales tax revenues dedicated to transportation purposes from municipalities in the MTC region. Base Year: FY2002-03. Data Source: Local jurisdiction specific estimates collected as part of MTC survey and included as component of overall MTC total for Local Streets and Roads funding. Growth Rate: Local jurisdiction specific estimates. Assumption Base: Information from MTC survey based on historical funding levels in local jurisdictions. Revenue total: \$1.136 Billion.

Sales Tax Measures (County): Description: Includes ½ cent sales tax for transit and local option sales taxes for select counties. Seven of nine counties in MTC region now have county sales tax measures dedicated to transportation purposes. Base Year: FY2002-03. Data Source: Center for Continuing Study of the California Economy (CCSCE)/County Transportation Authority. Growth Rate: CCSCE growth rate/county specific estimates. Assumption Base: Information from CCSCE/County Transportation Authority. Revenue total: County total in revenue template is \$19.853 billion and is a sum of county sales tax measures in the MTC region (\$19.365 billion) and a portion of other county sales tax funds separated from MTC's category of "Local Streets and Road Gas Tax Subventions, Sales Tax and Local Contribution" in the "Project Notebook" report, as reported by MTC (\$.488 billion).

Sales Tax Measures (Other): Description: Includes Transportation Development Act (TDA) Article 4, 3 and 4.5. The TDA is a quarter cent sales tax that is imposed statewide in California for transportation purposes. In the Bay Area, these revenues are almost exclusively used for transit operations and capital expenses. A specific growth rate is applied to each county for its TDA revenue projection. Base Year: FY2003-04. Data Source: Center for Continuing Study of the California Economy (CCSCE). Growth Rate: 6.19 % nominal; 2.69 % real. Assumption Base: Using the same growth rate as the taxable sales growth forecast from CCSCE. Revenue total: \$9.556 billion is a sum of MTC categories "Transportation Development Act 4, 3 and 4.5.

Gas Tax Measures (City Subventions): Description: Subventions to local jurisdictions in region from the California state gas tax. Base Year: FY2002-03. Data Source: MTC survey of region's local jurisdictions of historical funding levels. Growth Rate: Region wide weighted growth rate applied by MTC to develop 25 year revenue projection. Assumption Base: MTC Analysis. Revenue Total: \$3.36 billion.

Gas Tax Measures (County Subventions): Description: Subventions to counties in region from the California state gas tax. Base Year: FY2002-03. Data Source: MTC survey of region's jurisdictions of historical funding levels. Growth Rate: Region wide weighted growth rate applied by MTC to develop 25 year revenue projection. Assumption Base: MTC Analysis. Revenue Total: \$3.9 billion.

Other Local Funds (City General Funds): Description: Includes general fund revenues dedicated to transportation purposes from municipalities in the MTC region. Base Year: FY2002-03. Data Source: Local jurisdiction specific estimates collected as part of MTC survey and included as component of overall MTC total for Local Streets and Roads funding. Growth Rate: Local jurisdiction specific estimates. Assumption Base: Information from MTC survey based on historical funding levels in local jurisdictions. Revenue total: \$8.774 Billion.

Other Local Funds (Street Taxes and Developer Fees): Description: Includes impact fees charged to developers in the region and local funds accruing from

street taxes. Not applicable for MTC's 2030 RTP. Base Year: Not applicable. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

Other Local Funds (Other, Local Registration Fee Revenue (AB434): Description: Includes local revenue from state vehicle registration fees (AB434). Base Year: FY2002-03. Data Source: DMV and Caltrans' November 2002 "California Motor Vehicle Stock, Travel and Fuel Forecast." Growth Rate: Based on change of vehicle stock growth, population and auto ownership per household of the Bay area. Assumption Base: Assume the \$4 registration fee for the 25 year period. Revenue total: Overall total for the "Other Local Funds" category is \$2.765 which includes \$.190 billion from the local funds associated with registration fee revenue from AB434.

Other Local Funds (Other, Proposition 42 Local Streets and Roads Augmentation): Description: Includes local revenue augmentation from Proposition 42 for local streets and roads. Base Year: FY2002-03. Data Source: Caltrans. Growth Rate: Based on information from Caltrans. Assumption Base: Based on the specified distribution formula (50 percent to cities based on population share and 50 percent to counties based on vehicle registration (75 percent) and county road mileage (25 percent)) and state budget adjustments. Revenue total: Overall total for the "Other Local Funds" category is \$2.765 which includes \$2.575 billion from Proposition 42 augmentation to local streets and roads.

Transit (Transit Fares): Description: Consists of transit fares collected by transit operators in the MTC region. Base Year: FY2002-03. Data Source: Each operator. Growth Rate: Based on operators' projections, adjusted by inflation. Assumption Base: Operators' specific assumptions. Revenue Total: \$15.148 billion.

Transit (Other Transit, Muni Parking Revenue) Description: Consists of revenue allocated to Muni from the San Francisco general fund based on parking revenues. Base Year: FY2002-03. Data Source: Muni. Growth Rate: Muni's estimates. Assumption Base: Muni's specific assumptions. Revenue Total: Overall total for the Transit, Other category is \$7.789 billion which includes \$.641 billion from Muni parking revenue.

Transit (Other Transit, Property Tax/Parcel Tax) Description: Consists of revenue from property and/or parcel taxes on residents in the sub-regions served by transit operators in the MTC region. Base Year: FY2002-03. Data Source: Each transit operator. Growth Rate: Transit operators' estimates. Assumption Base: Transit operators' specific assumptions. Revenue Total: Overall total for the Transit, Other category is \$7.789 billion which includes \$.648 billion from property and/or parcel tax revenue in the MTC region.

Transit (Other Transit; AC Transit Parcel Tax) Description: Consists of revenue from a parcel tax on residents in the sub-region served by AC Transit (Alameda and Contra Costa Counties). Base Year: FY2002-03. Data Source: AC Transit. Growth Rate: AC Transit's estimates to increase existing tax rate from \$24 to \$48 annually; expires in 2015. Assumption Base: AC Transit's specific assumptions. Revenue Total: Overall total for the Transit, Other category is \$7.789 billion which includes \$.120 billion from AC Transit parcel tax revenue.

Transit (Other Transit; BART Seismic) Description: Consists of revenue from Measure AA, passed by region voters in November 2004. Measure AA raised property taxes to generate \$980 million in bonds needed for BART's earthquake safety retrofit. Base Year: Not applicable. Data Source: BART. Growth Rate: BART estimates. Assumption Base: BART specific assumptions. Revenue Total: Overall total for the Transit, Other category is \$7.789 billion which includes \$.980 billion from property and/or parcel tax revenue in the MTC region.

Tolls: Description: Bridge tolls from the one non-state owned bridge in the region, Golden Gate Bridge. Base Year: FY2003-04. Data Source: Golden Gate Highway and Transportation District and MTC Travel Model. Growth Rate: Output from MTC's Travel Model. Assumption Base: Apply the traffic growth rate to GGHTD's base year revenue. Revenue Total: \$1.428 billion

Other (Regional Transit Expansion Policy (RTEP): Description: Includes the MTC category of "RTEP Committed Other" which is a revenue source committed for transit expansion, in accordance with the MTC regional policy as described in MTC's Resolution 3434. It includes local fund sources used to partially fund transit expansion. They include "land sales and tax increment financing" in San Francisco, Port of Oakland and City of Oakland funds, salvage value from the sale of diesel engines, etc.. Base Year: FY2002-03. Data Source: MTC. Growth Rate: Discretionary program. Assumption Base: Based on project needs in the region. Revenue total: \$1.723 Billion.

Regional Revenue Sources

Regional funding sources can include regional sales tax measures (for example to support regional transit in a group of counties), bridge tolls that are utilized on a regional basis and possibly other sources.

Tolls, Bridge (Bay Area Toll Authority (BATA) Toll Revenues): Description: Consists of toll revenues collected by BATA for bridges in the MTC region. Base Year: FY2002-03 actual bridge toll collections serve as base year for long-range forecasts. Data Source: MTC Bay Area Toll Authority Model. Growth Rate: Based on traffic volume data from the Bay Area Toll Authority (BATA) model. Assumption Base: Historical traffic growth on toll bridges. (Zero traffic growth is assumed for the Bay Bridge and a 0.5 percent traffic volume growth is projected on all other state owned bridges.) Revenue total: Overall total for the

Regional Tolls, Bridge category is \$7.187 billion which includes \$2.4 billion from BATA toll revenues in the MTC region.

Tolls, Bridge (Seismic Surcharge/AB 1171): Description: Consists of seismic surcharge revenues collected in the MTC region. Base Year: FY2002-03 actual bridge toll collections serve as base year for long-range forecasts. Data Source: MTC Bay Area Toll Authority Model. Growth Rate: Based on traffic volume data from the Bay Area Toll Authority (BATA) model. Assumption Base: Historical traffic growth on toll bridges. (Zero traffic growth is assumed for the Bay Bridge and a 0.5 percent traffic volume growth is projected on all other state owned bridges.) Revenue total: Overall total for the Regional Tolls, Bridge category is \$7.187 billion which includes \$2.421 billion from the Seismic Surcharge/AB1171 in the MTC region.

Tolls, Bridge (Regional Measure 2): Description: Consists of revenues collected in the MTC region through regional measure 2. Base Year: FY2002-03 actual bridge toll collections serve as base year for long-range forecasts. Data Source: MTC Bay Area Toll Authority Model. Growth Rate: Based on traffic volume data from the Bay Area Toll Authority (BATA) model. Assumption Base: Historical traffic growth on toll bridges. (Zero traffic growth is assumed for the Bay Bridge and a 0.5 percent traffic volume growth is projected on all other state owned bridges.) Revenue total: Overall total for the Regional Tolls, Bridge category is \$7.187 billion which includes \$2.234 billion from Regional Measure 2.

Tolls, Bridge (AB664): Description: Consists of revenues collected in the MTC region through AB664. Base Year: FY2002-03 actual bridge toll collections serve as base year for long-range forecasts. Data Source: MTC Bay Area Toll Authority Model. Growth Rate: Based on traffic volume data from the Bay Area Toll Authority (BATA) model. Assumption Base: Historical traffic growth on toll bridges. (Zero traffic growth is assumed for the Bay Bridge and a 0.5 percent traffic volume growth is projected on all other state owned bridges.) Revenue total: Overall total for the Regional Tolls, Bridge category is \$7.187 billion which includes \$.066 billion from AB664.

Tolls, Bridge (Regional Measure 1, Ferry Reserve): Description: Consists of revenues collected in the MTC region through Regional Measure 1, and dedicated to the Ferry reserve. Base Year: FY2002-03 actual bridge toll collections serve as base year for long-range forecasts. Data Source: MTC Bay Area Toll Authority Model. Growth Rate: Based on traffic volume data from the Bay Area Toll Authority (BATA) model. Assumption Base: Historical traffic growth on toll bridges. (Zero traffic growth is assumed for the Bay Bridge and a 0.5 percent traffic volume growth is projected on all other state owned bridges.) Revenue total: Overall total for the Regional Tolls, Bridge category is \$7.187 billion which includes \$.012 billion from Regional Measure 1, for the Ferry reserve.

Tolls, Bridge (Regional Measure 1, Extension Reserve): Description: Consists of revenues collected in the MTC region through Regional Measure 1, and dedicated to the Extension reserve. Base Year: FY2002-03 actual bridge toll collections serve as base year for long-range forecasts. Data Source: MTC Bay Area Toll Authority Model. Growth Rate: Based on traffic volume data from the Bay Area Toll Authority (BATA) model. Assumption Base: Historical traffic growth on toll bridges. (Zero traffic growth is assumed for the Bay Bridge and a 0.5 percent traffic volume growth is projected on all other state owned bridges.) Revenue total: Overall total for the Regional Tolls, Bridge category is \$7.187 billion which includes \$.054 billion from Regional Measure 1, for the Extension reserve.

Tolls, Corridor: Description: Toll revenues collected for particular corridors (HOT lanes). Base Year: Not applicable at the preparation time of the MTC 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

Regional Transit Fares/Measures: Description: Transit fares or measures collected or implemented on a regional basis. Not applicable in the MTC region at the time of the 2030 RTP. Base Year: Not Applicable. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

Regional Sales Tax: Description: Half cent sales tax imposed in three BART counties (Alameda, Contra Costa and San Francisco). By statute, MTC receives 25 percent of the sales tax revenues and administers it. Base Year: FY 2003-04. Data Source: CCSCE. Growth Rate: 6 percent nominal, 2.6 percent real, based on taxable sales projection from the Center for Continuing Study of the California Economy (CCSCE). Assumption Base: Using the same growth rates as the taxable sales growth forecast from CCSCE. Revenue total: \$8.108 billion.

Regional Bond Measures: Description: Bond initiatives at a regional level to fund transportation improvements and projects. Not applicable in the MTC region at the time of the 2030 RTP. Base Year: Not applicable. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

Regional Gas Tax: Description: Could include additional gasoline fees that are implemented at a regional level. Base Year: Not applicable at the preparation time of the MTC 2030 RTP. Data Source: Not applicable.. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

Vehicle Registration Fees (CARB Fees): Description: Includes regional revenue from state vehicle registration fees (AB434/CARB Fees). Base Year: FY2002-03. Data Source: DMV and Caltrans' November 2002, "California Motor Vehicle Stock, Travel and Fuel." Growth Rate: Based on change of vehicle stock

growth, population and auto ownership per household of the Bay Area. Assumption Base: Assume the \$4 registration fee for the 25 year period. Revenue total: Overall total for Vehicle Registration Fees is \$.454 billion which includes \$.335 billion from AB434/CARB fees.

Vehicle Registration Fees (Service Authority for Freeway and Expressways (SAFE)): Description: Includes regional revenue from state registration fees for the SAFE program. Base Year: FY2002-03. Data Source: DMV and Caltrans' November 2002, "California Motor Vehicle Stock, Travel and Fuel." Growth Rate: Based on change of vehicle stock growth, population and auto ownership per household of the Bay Area. Assumption Base: Assume the \$1 registration fee for the SAFE program stays flat all of the 25 year period. Revenue total: Overall total for Vehicle Registration Fees is \$.454 billion which includes \$.119 billion from SAFE fees.

Other: For any "other" regional funding categories not described elsewhere in the revenue template, describe here. Each "other" funding source should be described separately. Base Year: Not applicable for MTC during preparation of their 2030 RTP. Data Source: Not applicable for MTC. Growth Rate: Not applicable for MTC. Assumption Base: Not applicable for MTC. Revenue total: Not applicable for MTC during preparation of their 2030 RTP.

State Revenue Sources

State funding sources generally include motor fuel taxes, special fuel taxes, vehicle registration fees and driver license fees. In California, Senate Bill (SB) 45 establishes the program structure and distribution formulas for state transportation funds. In general, the state funding programs estimated to be available include the State Highway and Operations Program (SHOPP), the State Transportation Improvement Program (STIP) and State Transit Assistance (STA). The SHOPP funds state highway maintenance and operations projects.

The State Transit Assistance (STA) is funded with 50 percent of the State Public Transit Account (PTA) revenues, which come from sales tax on fuel price as well as fuel consumption are the two key factors that dictate the amount of STA revenue generated each year. The FY2003-04 STA revenue levels are used to establish the base year with an average growth rate of 4.68 percent annually, based on the fuel price and consumption projections from Caltrans, over the 25 year period. The STA funding distribution within the state is based on a 50-50 split, with 50 percent distributed by population share and 50 percent distributed by revenue share of the transit operators.

As noted in several of the descriptions and assumptions for state revenue sources, state truck weight fees and highway account revenues are assumed to increase by 3 percent annually. The 3 percent annual increase in the State Highway Account revenue is based on the fuel consumption increase projected by Caltrans in their

“California Motor Vehicle Stock, Travel and Fuel Forecast” report as well as a 9.5 percent excise tax increase during the 25 year time period.

In addition, Proposition 42, approved by California voters in March 2002, is expected to augment the STIP, STA and subventions for local streets and roads gas tax. Assumptions for Proposition 42 revenues are described in the relevant funding categories under state or local fund sources.

As noted in an earlier section, in California, the CTC or California Transportation Commission (a state level panel appointed by the governor) releases the “Fund Estimate” every two years and the estimate covers a four year period. The Fund Estimate (FE) tells each region how much money it can expect to receive from various sources. This estimate is guided by statutory requirements that direct how the funds are divided up throughout the state. Within the CTC’s STIP allocation, are the federal funding categories of Interstate Maintenance (IM) and National Highway System (NHS). In California, IM and NHS federal funds cannot be separated from CTC’s overall fund estimate and the resulting regional allocation from the STIP. For this reason, the federal categories of Interstate Maintenance (IM) and National Highway System (NHS) are not shown on the federal revenue data table nor are specifically documented and described here.

SHOPP: Description: Funds state highway maintenance and operations projects. Base Year: FY 2003-04. Data Source: 2002 STIP Fund Estimate. Growth Rate: SHOPP program increase 3.5% annually after FY 2008-09. Bay Area’s share of 18.41 percent is based on the actual percentage over an eight-year programming period, from FY1999 to FY2006. Assumption Base: 2002 SHOPP report and the 2000 Ten-Year SHOPP Plan. Revenue Total: \$4.166 billion.

STIP, Total: Description: Overall, the STIP in California represents a sum of the Regional Transportation Improvement Programs (RTIPs) and Interregional Transportation Improvement Programs (ITIPs). The CTC programs an available amount of STIP funds after a “take-down” of the State Highway Account (SHA) for the SHOPP and other programs. The STIP funds are distributed 75 percent to RTIP and 25 percent to ITIP. Base Year: FY2003-04. Data Source: Caltrans. Growth rate: Based on information from Caltrans. Assumption Base: See specific assumptions for each STIP subcategory. Revenue total: \$6.503 billion.

STIP (RTIP County Shares Portion) Description: County portion of the STIP. Base Year: FY 2003-04. Data Source: Caltrans Growth Rate: Based on information from Caltrans. Assumption Base: 75% population (2003 data) and 25% state highway miles (2002 data). Bay Area received 17.39% of the State total RTIP funds. Revenue total: Overall STIP total is \$6.503 billion which includes \$2.738 billion in RTIP County Share revenues.

STIP (RTIP TE Portion) Description: Transportation enhancements portion of the STIP were included in the RTIP totals allocated by the California Transportation

Commission (CTC) when the 2030 MTC RTP was prepared. A separate TE category was therefore not available to separately be identified. Base Year: Unavailable; included in overall RTIP funds. Data Source: Unavailable; included in overall RTIP funds. Growth Rate: Unavailable; included in overall RTIP funds. Assumption Base: Unavailable; included in overall RTIP funds. Revenue total: Unavailable at time of MTC preparation of 2030 RTP.

STIP (RTIP Proposition 42 Portion) Description: County portion of the STIP from Proposition 42 revenues. Base Year: FY 2002-03. Data Source: Caltrans' November 2002 "California Motor Vehicle Stock, Travel and Fuel Forecast" report. Growth Rate: Based on information from Caltrans' report. Assumption Base: Based on specified distribution formula and state budget adjustments. Revenue total: Overall STIP total is \$6.503 billion which includes \$1.821 billion in Proposition 42 RTIP revenues.

STIP (Interregional Road/Intercity Rail (ITIP) Portion) Description: A state funding program where Caltrans nominates and the CTC approves a listing of interregional highway and rail projects for 25 percent of the funds to be programmed in the STIP. Base Year: Discretionary program, revenue estimate is based on the population share of the Bay Area, adjusted by the project needs in the region. The California state Department of Finance's long-term population projection is used for the projection. Data Source: Discretionary Program. Growth Rate: Discretionary Program. Assumption Base: Discretionary Program. Revenue total: Overall STIP total is \$6.503 billion which includes \$1.142 billion in ITIP revenues.

STIP (Interregional Road/Intercity Rail (ITIP) TE Portion) Description: Transportation enhancements portion of the STIP were included in the ITIP totals allocated by the California Transportation Commission (CTC) when the 2030 MTC RTP was prepared. A separate TE category was therefore not available to separately be identified. Base Year: Unavailable; included in overall ITIP funds. Data Source: Unavailable; included in overall ITIP funds. Growth Rate: Unavailable; included in overall ITIP funds. Assumption Base: Unavailable; included in overall ITIP funds. Revenue total: Unavailable at time of MTC preparation of 2030 RTP.

STIP (ITIP Proposition 42 Portion): Description: A state funding program where Caltrans nominates and the CTC approves a listing of interregional highway and rail projects for 25 percent of the funds to be programmed in the STIP. This would include additional ITIP revenues from Proposition 42. Base Year: Discretionary program, revenue estimate is based on the population share of the Bay Area, adjusted by the project needs in the region. The California state Department of Finance's long-term population projection is used for the projection. Data Source: Discretionary Program. Growth Rate: Discretionary Program. Assumption Base: Discretionary Program. Revenue total: Overall STIP total is \$6.503 billion which includes \$.802 billion in Proposition 42 ITIP revenues.

GARVEE Bonds: Description: A Grant Anticipation Revenue Vehicles (GARVEE) bond is a financing instrument that allows states to issue debt backed by future Federal-aid highway revenues. Eligibility for projects is constrained by the underlying Federal-aid highway programs that will be used to repay debt service. Base Year: Not applicable to the MTC region for preparation of their 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

Traffic Congestion Relief Program (TCRP): Description: Discretionary program, revenue estimate is based on the project needs in the region. Base Year: Discretionary program. Data Source: Discretionary program. Growth Rate: Discretionary program. Assumption Base: Discretionary program. Revenue total: \$1.168 billion.

State Transit Assistance (STA) Program (Population Based): Description: STA is funded with 50 percent of State Public Transit (PTA) account revenues which come from the fuel sales tax. Funding distribution within California is based on a 50-50 split with 50 percent distributed by population share and 50 percent by revenue share of the transit operators. Base Year: FY 2003-04. Data Source: Annual changes in the region's share are based on the population projection from the California Department of Finance and Caltrans' November 2002, "California Motor Vehicle Stock, Travel, and Fuel Forecast". Growth Rate: Based on Information from Caltrans' report. Assumption Base: Based on the specified distribution formula and State budget adjustment. Trend shows that the MTC region will lose population share compared to other region's in the state. This is reflected in the revenue projection. Revenue total: Overall STA total is \$2.150 billion which includes \$.285 billion in STA population based revenues.

State Transit Assistance (STA) Program (Proposition 42, Population Based Revenues): Description: Consists of Proposition 42 based revenues for STA population based funds. Base Year: FY 2002-03. Data Source: Caltrans' November 2002, "California Motor Vehicle Stock, Travel, and Fuel Forecast". Growth Rate: Based on Information from Caltrans' report. Assumption Base: Based on the specified distribution formula and State budget adjustment. Revenue total: Overall STA total is \$2.150 billion which includes \$.280 billion in Proposition 42, STA population based revenues.

State Transit Assistance (STA) Program (Revenue Based): Description: STA is funded with 50 percent of State Public Transit (PTA) account revenues which come from the fuel sales tax. Funding distribution within California is based on a 50-50 split with 50 percent distributed by population share and 50 percent by revenue share of the transit operators. MTC STA revenue based funding is projected based on the region's transit revenue base share for FY2003-04. Base Year: FY 2003-04. Data Source: Caltrans' November 2002, "California Motor Vehicle Stock, Travel, and Fuel Forecast". Growth Rate: Based on Information from Caltrans' report. Assumption Base: Annual changes in the region's share

are adjusted to reflect the assumption that the Bay Area will experience decreases in the revenue base share as the transit systems in other regions are expected to grow faster than the transit systems in the Bay Area. Based on the specified distribution formula and State budget adjustment. Revenue total: Overall STA total is \$2.150 billion which includes \$.799 billion in STA revenue based funds.

State Transit Assistance (STA) Program (Proposition 42, Revenue Based Funds): Description: Consists of Proposition 42 based revenues for STA revenue based funds. Base Year: FY 2002-03. Data Source: Caltrans' November 2002, "California Motor Vehicle Stock, Travel, and Fuel Forecast". Growth Rate: Based on Information from Caltrans' report. Assumption Base: Based on the specified distribution formula and State budget adjustment. Revenue total: Overall STA total is \$2.150 billion which includes \$.786 billion in Proposition 42, STA revenue based funds.

Carryover: Description: Carryover of unprogrammed STIP balances or other fund categories from the State Highway Account. Please note that carryover funds should only appear under the state funding category, and no other funding sources in the revenue table and supporting documentation. Base Year: Not applicable for MTC during preparation of their 2030 RTP. Data Source: Not applicable for MTC. Growth Rate: Not applicable for MTC. Assumption Base: Not applicable for MTC. Revenue total: Not applicable for MTC during preparation of their 2030 RTP.

Other: For any "other" state funding categories not described elsewhere in the revenue template, describe here. Each "other" funding source should be described separately. Base Year: Not applicable for MTC during preparation of their 2030 RTP. Data Source: Not applicable for MTC. Growth Rate: Not applicable for MTC. Assumption Base: Not applicable for MTC. Revenue total: Not applicable for MTC during preparation of their 2030 RTP.

Federal Revenue Sources

States and MPOs receive funding for construction, reconstruction and improvements on the Federal aid highway system authorized through legislation from Congress. In general, funding under the Federal aid highway program falls into two categories: non-discretionary and discretionary. For Federal Transit, the terms formula and non-formula programs are often used.

The current surface transportation legislation, SAFETEA-LU, continues many of the programs created by ISTEA and TEA-21, but with increases in funding levels in many areas. In addition, new programs have been created. Several of the larger new SAFETEA-LU funding categories are described here for documentation purposes. These categories have also been added to the revenue data table, but annotated with "NA" to indicate that this funding category was not available at the time of MTC's preparation of their Regional Transportation Plan for 2030.

Below is additional detail on the financial assumptions MTC used for federal sources in the preparation of their 2030 RTP.

For FTA formula programs, base year revenues are established using the FY2004 appropriations levels. A 3 percent annual growth rate was applied to the base year revenue. The amount assumed to be available for FTA non-formula (discretionary) programs is based on program need and within the limit of what the Bay Area region would receive based on its historical share of these programs and a 3 percent annual growth rate from the 2004 appropriation levels.

FHWA base year revenues for Surface Transportation Program (STP), Congestion Mitigation and Air Quality Improvement (CMAQ) and Transportation Enhancement (TE) funding are established using the average apportionments that the Bay Area region received during TEA-21. The average was selected to moderate recent swings in FHWA-based funds as a result of the Revenue Aligned Budget Authority (RABA), which adjusts annual apportionments to actual fuel tax receipts.

For both FTA formula and FHWA funding categories of STP, CMAQ and Transportation Enhancements, the three percent annual growth rate translates to a 9.5 cent excise tax increase during the 25-year time period and fuel consumption increases consistent with Caltrans' projections in the "California Motor Vehicle Stock, Travel and Fuel Forecast". The assumed increase in the excise tax is conservative based on actual fuel tax hikes enacted by Congress over the past 25 years.

Federal Transit Formula Programs

Urbanized Area Formula Program (Section 5307): Description: Distributed annually to state urbanized areas with a formula based on population, population density and transit revenue miles of service. Program funds capital projects (and operations expenses in areas under 200,000 in population), preventative maintenance and planning activities. Base Year: FY 2002-03. Data Source: FTA. Growth Rate: 3% nominal, -0.5% real. Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21 period. Revenue total: \$4.623 Billion.

Other or Non Urbanized Area Formula Program (Section 5311): Description: Program provides capital and operating expenses for rural and small urban public transportation systems. In SAFETEA-LU, there is new, separate funding for Native American tribes (5311c). Base Year: 5-year Average. Data Source: FTA. Growth Rate: 3% nominal, -0.5% real, and Bay Area's share is 2% of the national total based on historic trend. Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21. Revenue total: \$.034 Billion.

Clean Fuel Formula Program (Section 5308): Description: Program provides grants for clean fuel buses (up to 25 percent "Clean Diesel") and related facilities

in air quality non-attainment and maintenance areas. While the program was created under TEA-21, all funding through fiscal year 2005 was transferred in the appropriations process to Bus Discretionary program (5309). Base Year: Not applicable at the time of MTC's preparation of their 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Will be shown as "NA" in revenue template since the funding category was not available at time of MTC's preparation of their RTP 2030.

Elderly and Persons with Disabilities Formula Program (Section 5310): Description: Funds allocated by formula to states for capital costs of providing services to the elderly and disabled. Base Year: 5-year Average. Data Source: FTA. Growth Rate: 3% nominal, -0.5% real, and Bay Area's share is 2% of the national total based on historic trend. Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21. Revenue total: \$.013 Billion.

New Freedom (Section 5317): Description: New SAFETEA-LU formula grant program for capital and operating costs for services and facility improvements for the disabled. Base Year: TBD. Data Source: TBD. Growth Rate: TBD. Assumption Base: TBD. Revenue Total: Will be shown as "zero" in revenue template since the funding category was not available at time of MTC's preparation of their RTP 2030.

Other: Description: For any "other" FTA funding categories not described elsewhere in the revenue template, describe here. Each "other" funding source should be described separately. Base Year: Not applicable at time of MTC's preparation of their 2030 RTP. Data Source: Not applicable.. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Will be shown as "NA" in revenue template since the funding category was not available at time of MTC's preparation of their RTP 2030.

Federal Transit Non-Formula Programs

Fixed Guideway Modernization (Sections 5307, 5309): Description: Program funds infrastructure improvements to existing rail and other fixed guideway systems. Can include track and right of way rehabilitation, modernization of stations, rolling stock purchase and rehabilitation and signal and power modernization Also includes modernization of ferry terminals. In general, eligible urbanized areas have populations of at least 200,000 and fixed guideway systems that are at least seven years old. Base Year: FY 2002-03. Data Source: FTA. Growth Rate: 3% nominal, -0.5% real. Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21 period. Revenue total: : \$2.665 Billion.

New and Small Starts (Capital Investment Grants, Section 5309): Description: Capital projects include preliminary engineering, acquisition of real property, final design and construction, initial acquisition of rolling stock for new fixed guideway systems or extensions, including bus rapid transit, light rail, heavy

rail, and commuter rail systems. Capital investment grants of less than \$75million are considered "small starts". "Small starts" will have separate funding category beginning in FY07. Base Year: Discretion program based on program need and within the limit of what the Bay Area region would receive based on its historical share of these programs. Data Source: FTA. Growth Rate: Discretionary program, revenue estimate is based on the project needs in the region. Assumption Base: Discretionary program, revenue estimate is based on the project needs in the region. Assume a 3 percent annual growth rate from the 2004 appropriation levels. Revenue total: \$1.4 Billion.

Bus and Bus Related Grants (5309): Description: Program funds bus acquisition and other rolling stock, ancillary equipment and the construction of bus facilities. Also includes bus rehabilitation and leasing, park and ride facilities, parking lots associated with transit facilities and bus passenger shelters. Base Year: FY 2002-03. Data Source: FTA Growth Rate: 3% nominal, -0.5% real, and Bay Area's share is 2% of the national total based on historic trend. Assumption Base: Based on historic growth rate over ISTEA and TEA-21. Revenue total: \$.299 Billion.

Job Access and Reverse Commute (Section 5316): Description: Program provides funding for local programs that offer job access and reverse commute services for low income individuals. Under SAFETEA-LU, this is now a formula program rather than a discretionary program as was the case under TEA-21. Formula allocations are now based on the number of low-income persons. Base Year: Discretionary program at the time of MTC's preparation of their 2030 RTP. Based on program need in the region. Data Source: FTA. Growth Rate: Discretionary program, revenue estimate is based on the project needs in the region. Assumption Base: Discretionary program, revenue estimate is based on the project needs in the region. Assume a 3 percent annual growth rate from the 2004 appropriation levels. Revenue Total: \$.040 Billion.

Other: Description: For any "other" FTA funding categories not described elsewhere in the revenue template, describe here. Each "other" funding source should be described separately. Base Year: Not applicable at time of MTC's preparation of their 2030 RTP. Data Source: Not applicable.. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Will be shown as "NA" in revenue template since the funding category was not available at time of MTC's preparation of their RTP 2030.

Federal Highway Non-Discretionary Programs

Non-discretionary or apportionment programs are distributed to states under Congressionally designed formulas that are specific to funding categories also established by Congress. Once apportionments are distributed to states using these formulas, the use of these funds is controlled by the state and local planning process. While the funding is federal and must be used for projects that fit federal criteria and follow environmental and other requirements, states and

local planning organizations have the discretion to determine which eligible projects will receive funding.

As noted in previous sections, in California, the CTC or California Transportation Commission (a state level panel appointed by the governor) releases the "Fund Estimate" every two years and the estimate covers a four year period. The Fund Estimate (FE) tells each region how much money it can expect to receive from various sources. This estimate is guided by statutory requirements that direct how the funds are divided up throughout the state. Within the CTC's STIP allocation, are the federal funding categories of Interstate Maintenance (IM) and National Highway System (NHS). In California, IM and NHS federal funds cannot be separated from CTC's overall fund estimate and the resulting regional allocation from the STIP. For this reason, the federal categories of Interstate Maintenance (IM) and National Highway System (NHS) are not shown on the federal revenue data table nor are specifically documented and described here.

CMAQ: Description: Program with goals to reduce traffic congestion and improve air quality in non-attainment areas. Base Year: Average Apportionments during TEA-21 Period. Project examples include: signal coordination, park and ride lots, ridesharing, bus service expansion, and alternative transportation modes. Data Source: FHWA. Growth Rate: 3% nominal, -0.5% real. Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21 period. Revenue total: \$1.312 Billion.

Surface Transportation Program (General): The STP program provides flexible funding for projects on any Federal aide highway, bridges on public roads, freight transfer yards, preservation of abandoned rail corridors etc. In California, specific STP categories are commonly used including: STP Regional, STP Enhancement and STIP Hazard Elimination and Safety. These are shown in the revenue data table and described separately here.

Surface Transportation Program (Regional): Description: Funds may be spent on any road that is functionally classified as a collector or higher for urban streets or as a major collector or higher for rural areas. Project types range from rehabilitation to new construction. Base Year: Average Apportionments during TEA-21 Period. Data Source: FHWA. Growth Rate: 3% nominal, -0.5% real. Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21 period. Revenue total: \$1.489 Billion

Surface Transportation Program Enhancement (TEA Fund-County and TEA Fund-MTC): Description: Enhancements include historic preservation, bicycle and pedestrian facilities, water runoff mitigation. Includes TEA Fund County and TEA Fund MTC. Financial assumptions for both of these MTC categories are the same. Base Year: Average Apportionments during TEA-21 Period. Data Source: FHWA and Caltrans. Growth Rate: 3% nominal, -0.5% real. Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21

period and Caltrans distribution formula. Revenue total: Overall total is \$.259 billion which includes \$.164 in TEA funds for counties in the region and TE funds to MTC of \$.095 billion.

Surface Transportation Program Hazard Elimination & Safety: Description: Eligible projects include hazard elimination, railroad crossings and railroad protective devices. Base Year: Separate funding information for this program category unavailable at the time of MTC's preparation of their 2030 RTP. Data Source: Unavailable. Growth Rate: Unavailable. Assumption Base: Unavailable. Revenue total: Will be shown as "U" in revenue template since separate data for this funding category was unavailable at time of MTC's preparation of their RTP 2030.

Highway Bridge Replacement and Rehabilitation Program: Description: Provides funds for the replacement of substandard bridges, both on and off federal-aid systems. Base Year: 160 million for FY 2002-03, Estimates from Caltrans. Data Source: FHWA and Caltrans. Growth Rate: 3% nominal, -0.5% real growth. Assumption Base: Based on information from Caltrans. Revenue total: \$.596 Billion.

Highway Safety Improvement Program (SAFETEA-LU Sections 1101, 1401): Description: New SAFETEA-LU core Federal-aid program beginning in FY 2006 to achieve a significant reduction in traffic fatalities and serious injuries on all public roads. Base Year: Not applicable during MTC's preparation of their 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: New funding category in SAFETEA-LU. Will be shown as "NA" in revenue template since the funding category was not available at time of MTC's preparation of their RTP 2030.

Safe Routes to School: Description: New SAFETEA-LU program that provides funds for infrastructure related projects, eligible activities are the planning, design, and construction of projects that will substantially improve the ability of students to walk and bicycle to school. These include sidewalk improvements, traffic calming and speed reduction improvements, pedestrian and bicycle crossing improvements, on-street bicycle facilities, off-street bicycle and pedestrian facilities, secure bike parking, and traffic diversion improvements in the vicinity of schools (within approximately 2 miles). Such projects may be carried out on any public road or any bicycle or pedestrian pathway or trail in the vicinity of schools. Base Year: Not applicable at the time of MTC's preparation of their 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: In sample template, this is shown as "NA" since this is a new funding category and this program was not available during the preparation of the MTC RTP through the year 2030.

Rail-Highway Grade Crossing Protection (USC Section 130; SAFETEA-LU Section 1401): Description: Program to reduce the number of fatalities and

injuries at public highway-rail grade crossings through the elimination of hazards and/or the installation/upgrade of protective devices at crossings. Base Year: Separate funding information for this program category unavailable at the time of MTC's preparation of their 2030 RTP. Data Source: Unavailable. Growth Rate: Unavailable. Assumption Base: Unavailable. Revenue total: Will be shown as "U" in revenue template since separate data for this funding category was unavailable at time of MTC's preparation of their RTP 2030.

Federal Lands Highway: Description: Includes funds for Federal Lands Highways (FLH) for Indian Reservation Roads (IRR), Park Roads and Parkways, Refuge Roads, and Public Lands Highways (non-discretionary). Base Year: Separate funding information for this program category unavailable at the time of MTC's preparation of their 2030 RTP. Data Source: Unavailable. Growth Rate: Unavailable. Assumption Base: Unavailable. Revenue total: Will be shown as "U" in revenue template since separate data for this funding category was unavailable at time of MTC's preparation of their RTP 2030.

Other: For any "other" FHWA funding categories not described elsewhere in the revenue template, describe here. Each "other" funding source should be described separately. Base Year: Not applicable at time of MTC's preparation of their 2030 RTP. Data Source: Not applicable.. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Will be shown as "NA" in revenue template since the funding category was not available at time of MTC's preparation of their RTP 2030.

Federal Highway Discretionary Programs

Discretionary federal programs include these that require the U.S. Department of Transportation (or sub-agency) to conduct a nationwide selection process among eligible projects, under Congressionally mandated criteria. Federal transportation funding can also be directed to specific state, regional or local projects.

Bridge Discretionary Program: Description: Discretionary portion of the overall highway bridge program. Highway bridge program provides funding to enable States to improve the condition of their highway bridges through replacement, rehabilitation, and systematic preventive maintenance. Base Year: Separate funding information for this program category unavailable at the time of MTC's preparation of their 2030 RTP. Data Source: Unavailable. Growth Rate: Unavailable. Assumption Base: Unavailable. Revenue total: Will be shown as "U" in revenue template since separate data for this funding category was unavailable at time of MTC's preparation of their RTP 2030.

Corridor Infrastructure Improvement Program (SAFETEA-LU Section 1302): Description: Discretionary program that provides funding for construction of highway projects in corridors of national significance to promote economic growth and international or interregional trade. This program replaces TEA-21

section 1118, National Corridor Planning and Development program. Base Year: Not applicable at time of MTC's preparation of their 2030 RTP. Data Source: Not applicable.. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Will be shown as "NA" in revenue template since the funding category was not available at time of MTC's preparation of their RTP 2030.

Coordinated Border Infrastructure Program (SAFETEA-LU Section 1303): Description: Funded by contract authority, funds are subject to the overall Federal-aid obligation limitation, not transferable except as permitted for transfer to GSA and remain available until expended. Funds are to be apportioned among border States based on specific factors related to the movement of people and goods through the land border ports of entry within the boundaries of the State. Base Year: Not applicable at time of MTC's preparation of their 2030 RTP. Data Source: Not applicable.. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Will be shown as "NA" in revenue template since the funding category was not available at time of MTC's preparation of their RTP 2030.

Emergency Relief Program: Description: Program provides funds for the repair or reconstruction of Federal-aid highways and roads on Federal lands that have suffered serious damage as a result of natural disasters or catastrophic failure from an external cause. Base Year: Not applicable at time of MTC's preparation of their 2030 RTP. Data Source: Not applicable.. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Will be shown as "NA" in revenue template since the funding category was not available at time of MTC's preparation of their RTP 2030.

Ferry Boat Discretionary: Description: Discretionary program provides funding for the construction of ferry boats and ferry terminal facilities. Base Year: Separate funding information for this program category unavailable at the time of MTC's preparation of their 2030 RTP. Data Source: Unavailable. Growth Rate: Unavailable. Assumption Base: Unavailable. Revenue total: Will be shown as "U" in revenue template since separate data for this funding category was unavailable at time of MTC's preparation of their RTP 2030.

High Priority Projects Program: Description: The High Priority Projects Program provides designated funding for specific projects identified in SAFETEA-LU. A total of 5,091 projects are identified, each with a specified amount of funding over the 5 years of SAFETEA-LU. . Base Year: Not applicable at time of MTC's preparation of their 2030 RTP. Data Source: Not applicable.. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Will be shown as "NA" in revenue template since the funding category was not available at time of MTC's preparation of their RTP 2030.

National Scenic Byways: Description: Grants and technical assistance are provided to States and Indian tribes to implement projects on highways

designated as National Scenic Byways, All-American Roads, America's Byways, State scenic or Indian tribe scenic byways; and to plan, design, and develop a State or Indian tribe scenic byway program. Data Source: Unavailable. Growth Rate: Unavailable. Assumption Base: Unavailable. Revenue total: Will be shown as "U" in revenue template since separate data for this funding category was unavailable at time of MTC's preparation of their RTP 2030.

Projects of National and Regional Significance (SAFETEA-LU Section 1301): Description: Provides funding for high cost projects of national or regional importance. Applications for funding will be solicited by the U.S. Secretary of Transportation and funding for projects will be awarded competitively through an evaluation process modeled on the Transit New Starts program. . Base Year: Not applicable at time of MTC's preparation of their 2030 RTP. Data Source: Not applicable.. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Will be shown as "NA" in revenue template since the funding category was not available at time of MTC's preparation of their RTP 2030.

Public Lands Highway Discretionary: Description: Includes Federal Lands Highway discretionary funding for public lands. Base Year: Separate funding information for this program category unavailable at the time of MTC's preparation of their 2030 RTP. Data Source: Unavailable. Growth Rate: Unavailable. Assumption Base: Unavailable. Revenue total: Will be shown as "U" in revenue template since separate data for this funding category was unavailable at time of MTC's preparation of their RTP 2030.

Recreational Trails: Description: Funds may be used to maintain and restore trails, develop trailside and trailhead facilities, acquire easements or land for trails and to construct new trails. Base Year: Separate funding information for this program category unavailable at the time of MTC's preparation of their 2030 RTP. Data Source: Unavailable. Growth Rate: Unavailable. Assumption Base: Unavailable. Revenue total: Will be shown as "U" in revenue template since separate data for this funding category was unavailable at time of MTC's preparation of their RTP 2030.

Transportation Community and System Preservation (SAFETEA-LU Section 1117): Description: Grant program for projects that integrate transportation, community, and system preservation plans and practices. Base Year: Separate funding information for this program category unavailable at the time of MTC's preparation of their 2030 RTP. Data Source: Unavailable. Growth Rate: Unavailable. Assumption Base: Unavailable. Revenue total: Will be shown as "U" in revenue template since separate data for this funding category was unavailable at time of MTC's preparation of their RTP 2030.

Transportation Improvement Projects (Section 1934): Description: Provides designated funding for specific projects identified in SAFETEA-LU. A total of 466 projects are identified, each with a specified amount of funding over the 5 years

of SAFETEA-LU. . Base Year: Not applicable at time of MTC's preparation of their 2030 RTP. Data Source: Not applicable.. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Will be shown as "NA" in revenue template since the funding category was not available at time of MTC's preparation of their RTP 2030.

Other: For any "other" FHWA funding categories not described elsewhere in the revenue template, describe here. Each "other" funding source should be described separately. Base Year: Not applicable at time of MTC's preparation of their 2030 RTP. Data Source: Not applicable.. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Will be shown as "NA" in revenue template since the funding category was not available at time of MTC's preparation of their RTP 2030.

Innovative Finance Sources

Innovative Finance sources or tools include loans, credit enhancement and tax-expenditure financing programs. Loans and credit enhancement programs allow states to leverage Federal resources and stimulate capital investment in transportation infrastructure. In some states (including California), special loan and grant programs have also been created (e.g., State Infrastructure Banks)

Special Note: Although this technical documentation and template only support the revenue side of transportation finances, MPOs and states should ensure that they address debt service appropriately on the cost side of their financial analysis in other fiscal constraint documentation (i.e., if some innovative financing tools are used as a revenue source in year X; debt service on some of these loans will need to appear and be counted as a cost in year Y.)

In the MTC region, these innovative finance tools were not utilized in the preparation of their 2030 Regional Transportation Plan. Therefore, in the documentation and data table, they are shown as "not applicable". Nevertheless, they are included here in examples for documentation and the revenue template table because it is anticipated that innovative finance tools will increasingly become sources for transportation funding in the future.

Transportation Infrastructure Finance and Innovation Act (TIFIA): Description: Program provides credit assistance (up to one-third of project cost) for major transportation investments of national or regional significance. Credit assistance is provided through secured loans, loan guarantees or lines of credit. Project costs must be at least \$50 million or one-third of a state's annual apportionment of federal-aid highway funds, whichever is less. Base Year: Not applicable to MTC 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

State Infrastructure Bank (SIB): Description: SAFETEA-LU now allows all states to establish infrastructure revolving funds eligible to be capitalized with

Federal transportation dollars authorized through fiscal year 2009. Implementation of multistate SIBs is also permitted to assist with funding options for projects crossing jurisdictional boundaries. Base Year: Not applicable to MTC 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

Section 129 Loans: Description: ISTEA amended Section 129 of Title 23 U.S.C. to allow Federal participation in a state loan to a toll project. The National Highway System Designation Act of 1995 (NHS Act) further expanded this Federal-aid eligibility to include state loans to non-toll projects with a dedicated revenue stream. Such revenue streams can include excise taxes, sales taxes, real property taxes, motor vehicle taxes, incremental property taxes, or other beneficiary fees. Similar to State Infrastructure Banks (SIBs), Section 129 loans allow states to leverage additional transportation resources and recycle assistance to other eligible projects. States have the flexibility to negotiate interest rates and other terms of Section 129 loans. When a loan is repaid, the state is required to use the funds for a Title 23 eligible project or credit enhancement activities, such as the purchase of insurance or a capital reserve to improve credit market access or lower interest rate costs for a Title 23 eligible project. Base Year: Not applicable to MTC 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

Rail Rehab and Improvement Financing: Description: Program provides loans and credit assistance to both public and private sponsors of rail and intermodal projects. Base Year: Not applicable to MTC 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

Private Activity Bonds: Description: Title XI Section 11142 of SAFETEA-LU amends Section 142(a) of the IRS Code to allow the issuance of tax-exempt private activity bonds for highway and freight transfer facilities. Therefore, states and local governments are allowed to issue tax-exempt bonds to finance highway and freight transfer facility projects sponsored by the private sector. Base Year: Not applicable to MTC 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

Private Concession Fees: Description: States and local governments have recently begun to enter into concession agreements with the private sector. In these types of agreements, private concessionaires arrange financing, construct and maintain roadways, service their debt, and derive revenue from tolls or lease arrangements. Base Year: Not applicable to MTC 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

Private Donations: Description: Donations of land, facilities, other assets from the private sector to the public sector that result in a benefit to the transportation

sector. Base Year: Not applicable to MTC 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

Program Income: Description: Income generated from a transportation asset that could accrue to a state or MPO (for example, sale of ITS traffic data) Base Year: Not applicable to MTC 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

Other: For any "other" innovative financing categories not described elsewhere in the revenue template, describe here. Each "other" financing source should be described separately. Base Year: Not applicable. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

■ Conclusion

This Paper provided several proposals and examples for documenting revenue information as part of a long range plan (or regional transportation plan (RTP) and Transportation Improvement Program (TIP), or Statewide Transportation Improvement Program (STIP or FSTIP in California.)

As noted, the documentation of revenue sources is a critical component of demonstrating fiscal constraint, both for the program and the long range plan. Several sample approaches for revenue documentation have been provided. , including: 1) detailed documentation of specific revenue sources in narrative format; 2) documentation of specific revenue sources in tabular format (Appendix A); 3) documentation of new revenue sources in tabular format (Appendix B); and 4) documentation of revenue source availability assumptions (Appendix C). In addition, the proposal concludes with a revenue assessment checklist in Appendix D. This checklist can be used as an organizational assessment tool to determine if appropriate revenue development process and the documentation of revenue sources in financial plans are sufficient.

Recommendations for Implementation

The information presented in this paper serves as a series of options or proposals for the FHWA California Division Office, the state and regional agencies. It is suggested that the utility of the suggested approaches for revenue documentation be reviewed and discussed in the relevant statewide planning and programming forums for future application as part of new RTP, TIP and FSTIP developments. At the same time, the revenue assessment checklist is also provided as an assessment tool that can be used by Caltrans and the state's MPOs in the preparation of their financial plans.

Appendix A: Revenue Source Sample Table: MTC (Modification to Table 1-2 from MTC's Project Notebook)

Transportation 2030 Plan: Financially Constrained Element Revenue Projections (in 2004 dollars, millions)

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
FEDERAL—Federal Transit Administration		
FTA Formula Program Urbanized Area Formula (Capital)	Description: Distributed annually to state urbanized areas with a formula based on population, population density and transit revenue miles of service. Program funds capital projects (and operations expenses in areas under 200,000 in population), preventative maintenance and planning activities. Base Year: FY 2002-03 Data Source: FTA Growth Rate: 3% nominal, -0.5% real Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21 period	\$4.623
FTA Formula Program Nonurbanized Area Formula	Description: Program provides capital and operating expenses for rural and small urban public transportation systems. In SAFETEA-LU, there is new, separate funding for Native American tribes (5311c). Base Year: 5-year Average Data Source: FTA Growth Rate: 3% nominal, -0.5% real, and Bay Area's share is 2% of the national total based on historic trend Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21	\$0.034
FTA Formula Program Clean Fuel Formula Program	Description: Program provides grants for clean fuel buses (up to 25 percent "Clean Diesel") and related facilities in air quality non-attainment and maintenance areas. While the program was created under TEA-21, all funding through fiscal year 2005 was transferred in the appropriations process to Bus Discretionary program (5309). Base Year: Not applicable at time of RTP 2030 preparation. Data Source: FTA Growth Rate: Not applicable at time of RTP 2030 preparation. Assumption Base: Not applicable at time of RTP 2030	NA

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
	preparation.	
FTA Formula Program Elderly and Persons with Disabilities Formula	Description: Funds allocated by formula to states for capital costs of providing services to the elderly and disabled Base Year: 5-year Average Data Source: FTA Growth Rate: 3% nominal, -0.5% real, and Bay Area's share is 2% of the national total based on historic trend Assumption Base: Adjusted rate based on historic growth rate over ISTE and TEA-21	\$0.013
FTA Formula Program New Freedom	Description: New SAFETEA-LU formula grant program for capital and operating costs for services and facility improvements for the disabled. Base Year: Not applicable at time of RTP 2030 preparation. Data Source: FTA Growth Rate: Not applicable at time of RTP 2030 preparation. Assumption Base: Not applicable at time of RTP 2030 preparation.	NA
FTA Formula Program Other	Description: For any "other" FTA funding categories not described elsewhere in the revenue template, describe here. Each "other" funding source should be described separately. Base Year: Not applicable at time of RTP 2030 preparation. Data Source: FTA Growth Rate: Not applicable at time of RTP 2030 preparation. Assumption Base: Not applicable at time of RTP 2030 preparation.	NA
FTA Formula Sub-Total		\$4.670
FTA Non-Formula Program Fixed Guideway Program	Description: Description: Program funds infrastructure improvements to existing rail and other fixed guideway systems. Can include track and right of way rehabilitation, modernization of stations, rolling stock purchase and rehabilitation and signal and power modernization Also includes modernization of ferry terminals. In general, eligible urbanized areas have populations of at least 200,000 and fixed guideway systems that are at least seven years old. Base Year: FY 2002-03 Data Source: FTA Growth Rate: 3% nominal, -0.5% real Assumption Base: Adjusted rate based on historic	\$2.665

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
	growth rate over ISTE and TEA-21 period	
FTA Non-Formula Program New and Small Starts	Description: Capital projects include preliminary engineering, acquisition of real property, final design and construction, initial acquisition of rolling stock for new fixed guideway systems or extensions, including bus rapid transit, light rail, heavy rail, and commuter rail systems. Capital investment grants of less than \$75million are considered "small starts". "Small starts" will have separate funding category beginning in FY07. Discretionary program, revenue estimate is based on the project needs in the region	\$1.400
FTA Non-Formula Program Bus & Bus Related Grants	Description: Program funds bus acquisition and other rolling stock, ancillary equipment and the construction of bus facilities. Also includes bus rehabilitation and leasing, park and ride facilities, parking lots associated with transit facilities and bus passenger shelter. Base Year: FY 2002-03 Data Source: FTA Growth Rate: 3% nominal, -0.5% real, and Bay Area's share is 2% of the national total based on historic trend Assumption Base: Based on historic growth rate over ISTE and TEA-21	\$0.299
FTA Non-Formula Program Job Access Reverse Commute	Description: Program provides funding for local programs that offer job access and reverse commute services for low income individuals. Under SAFETEA-LU, this is now a formula program rather than a discretionary program as was the case under TEA-21. Formula allocations are now based on the number of low-income persons. Discretionary program, revenue estimate is based on the project needs in the region	\$0.040
FTA Non-Formula Program Other	Description: For any "other" FTA funding categories not described elsewhere in the revenue template, describe here. Each "other" funding source should be described separately. Base Year: Not applicable at time of RTP 2030 preparation. Data Source: FTA Growth Rate: Not applicable at time of RTP 2030 preparation. Assumption Base: Not applicable at time of RTP 2030 preparation.	NA
FTA Non-Formula Sub-Total		\$4.404

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
Federal Transit Administration Funding Sub-Total		\$9.074
FEDERAL—Federal Highway Administration		
FHWA Non-Discretionary CMAQ Program	Description: Program with goals to reduce traffic congestion and improve air quality in non-attainment areas. Base Year: Average Apportionments during TEA-21 Period Data Source: FHWA Growth Rate: 3% nominal, -0.5% real Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21 period	\$1.312
FHWA Non-Discretionary Surface Transportation Program (Regional)	Description: Funds may be spent on any road that is functionally classified as a collector or higher for urban streets or as a major collector or higher for rural areas. Project types range from rehabilitation to new construction. Base Year: Average Apportionments during TEA-21 Period Data Source: FHWA Growth Rate: 3% nominal, -0.5% real Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21 period	\$1.489
FHWA Non-Discretionary Surface Transportation Program Enhancement (TEA Fund-County)	Description: Enhancements include historic preservation, bicycle and pedestrian facilities, water runoff mitigation. Base Year: Average Apportionments during TEA-21 Period Data Source: FHWA and Caltrans Growth Rate: 3% nominal, -0.5% real Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21 period and Caltrans distribution formula	\$0.164
FHWA Non-Discretionary Surface Transportation Program Enhancement (TEA Fund-MTC)	Description: Enhancements include historic preservation, bicycle and pedestrian facilities, water runoff mitigation. Base Year: Average Apportionments during TEA-21 Period Data Source: FHWA and Caltrans Growth Rate: 3% nominal, -0.5% real Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21 period and Caltrans distribution formula	\$0.095
FHWA Non-Discretionary	Description: Eligible projects include hazard elimination, railroad crossings and railroad protective	U

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
Surface Transportation Program Hazard Elimination and Safety	<p>devices</p> <p>Base Year: Unavailable at time of RTP 2030 preparation.</p> <p>Data Source: FHWA and Caltrans</p> <p>Growth Rate: Unavailable at time of RTP 2030 preparation.</p> <p>Assumption Base: Unavailable at time of RTP 2030 preparation.</p>	
FHWA Non-Discretionary Highway Bridge Replacement and Rehabilitation (MTC Bridge/Safety Program)	<p>Description: Provides funds for the replacement of substandard bridges, both on and off federal-aid systems.</p> <p>Base Year: 160 million for FY 2002-03, Estimates from Caltrans</p> <p>Data Source: FHWA and Caltrans</p> <p>Growth Rate: 3% nominal, -0.5% real growth</p> <p>Assumption Base: Based on information from Caltrans</p>	\$0.596
FHWA Non-Discretionary Highway Safety Improvement Program	<p>Description: New SAFETEA-LU core Federal-aid program beginning in FY 2006 to achieve a significant reduction in traffic fatalities and serious injuries on all public roads.</p> <p>Base Year: New SAFETEA-LU funding program. Not applicable at time of RTP 2030 preparation.</p> <p>Data Source: FHWA and Caltrans</p> <p>Growth Rate: Not applicable at time of RTP 2030 preparation.</p> <p>Assumption Base: Not applicable at time of RTP 2030 preparation.</p>	NA
FHWA Non-Discretionary Safe Routes to School	<p>Description: New SAFETEA-LU program that provides funds for infrastructure related projects, eligible activities are the planning, design, and construction of projects that will substantially improve the ability of students to walk and bicycle to school.</p> <p>Base Year: New SAFETEA-LU funding program. Not applicable at time of RTP 2030 preparation.</p> <p>Data Source: FHWA and Caltrans</p> <p>Growth Rate: Not applicable at time of RTP 2030 preparation.</p> <p>Assumption Base: Not applicable at time of RTP 2030 preparation.</p>	NA
FHWA Non-Discretionary Rail/Highway Grade Crossing	<p>Description: Eligible projects include hazard elimination, railroad crossings and railroad protective devices</p> <p>Base Year: Separate data for this category unavailable at time of RTP 2030 preparation.</p>	U

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
(Section 130)	Data Source: FHWA and Caltrans Growth Rate: Unavailable at time of RTP 2030 preparation. Assumption Base: Unavailable at time of RTP 2030 preparation.	
FHWA Non-Discretionary Federal Lands	Description: Includes funds for Federal Lands Highways (FLH) for Indian Reservation Roads (IRR), Park Roads and Parkways, Refuge Roads, and Public Lands Highways (non-discretionary). Base Year: Separate data for this category unavailable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans Growth Rate: Unavailable at time of RTP 2030 preparation. Assumption Base: Unavailable at time of RTP 2030 preparation.	U
FHWA Non-Discretionary Other	Description: For any "other" FHWA funding categories not described elsewhere in the revenue template, describe here. Each "other" funding source should be described separately. Base Year: Not applicable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans Growth Rate: Not applicable at time of RTP 2030 preparation. Assumption Base: Not applicable at time of RTP 2030 preparation.	NA
<u>FHWA Non-Discretionary Sub-Total</u>		\$3.656
FHWA Discretionary Bridge Discretionary Program	Description: Discretionary portion of the overall highway bridge program. Highway bridge program provides funding to enable States to improve the condition of their highway bridges through replacement, rehabilitation, and systematic preventive maintenance. Base Year: Separate data for this category unavailable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans Growth Rate: Unavailable at time of RTP 2030 preparation. Assumption Base: Unavailable at time of RTP 2030 preparation.	U
FHWA Discretionary Corridor	Description: Discretionary program that provides funding for construction of highway projects in corridors of national significance to promote economic growth and international or interregional trade. This program	NA

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
Infrastructure Improvement Program	replaces TEA-21 section 1118, National Corridor Planning and Development program. Base Year: Not applicable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans Growth Rate: Not applicable at time of RTP 2030 preparation. Assumption Base: Not applicable at time of RTP 2030 preparation.	
FHWA Discretionary Coordinated Border Infrastructure	Description: Funded by contract authority, funds are subject to the overall Federal-aid obligation limitation, not transferable except as permitted for transfer to GSA and remains available until expended. Funds are to be apportioned among border States based on specific factors related to the movement of people and goods through the land border ports of entry within the boundaries of the State. Base Year: Not applicable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans Growth Rate: Not applicable at time of RTP 2030 preparation. Assumption Base: Not applicable at time of RTP 2030 preparation.	NA
FHWA Discretionary Emergency Relief Program	Description: Program provides funds for the repair or reconstruction of Federal-aid highways and roads on Federal lands that have suffered serious damage as a result of natural disasters or catastrophic failure from an external cause. Base Year: Not applicable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans Growth Rate: Not applicable at time of RTP 2030 preparation. Assumption Base: Not applicable at time of RTP 2030 preparation.	NA
FHWA Discretionary Ferry Boat Discretionary	Description: Discretionary program provides funding for the construction of ferry boats and ferry terminal facilities. Base Year: Separate data for this category unavailable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans Growth Rate: Unavailable at time of RTP 2030 preparation. Assumption Base: Unavailable at time of RTP 2030	U

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
	preparation.	
FHWA Discretionary High Priority Projects	Description: The High Priority Projects Program provides designated funding for specific projects identified in SAFETEA-LU. A total of 5,091 projects are identified, each with a specified amount of funding over the 5 years of SAFETEA-LU. Base Year: Not applicable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans Growth Rate: Not applicable at time of RTP 2030 preparation. Assumption Base: Not applicable at time of RTP 2030 preparation.	NA
FHWA Discretionary National Scenic Byways	Description: Grants and technical assistance are provided to States and Indian tribes to implement projects on highways designated as National Scenic Byways, All-American Roads, America's Byways, State scenic or Indian tribe scenic byways; and to plan, design, and develop a State or Indian tribe scenic byway program. Base Year: Separate data for this category unavailable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans Growth Rate: Unavailable at time of RTP 2030 preparation. Assumption Base: Unavailable at time of RTP 2030 preparation.	U
FHWA Discretionary Projects of National and Regional Significance	Description: Provides funding for high cost projects of national or regional importance. Applications for funding will be solicited by the U.S. Secretary of Transportation and funding for projects will be awarded competitively through an evaluation process modeled on the Transit New Starts program. Base Year: Not applicable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans Growth Rate: Not applicable at time of RTP 2030 preparation. Assumption Base: Not applicable at time of RTP 2030 preparation.	NA
FHWA Discretionary Public Lands Discretionary	Description: Includes Federal Lands Highway discretionary funding for public lands . Base Year: Separate data for this category unavailable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans	U

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
	Growth Rate: Unavailable at time of RTP 2030 preparation. Assumption Base: Unavailable at time of RTP 2030 preparation.	
FHWA Discretionary Recreational Trails	Description: Funds may be used to maintain and restore trails, develop trailside and trailhead facilities, acquire easements or land for trails and to construct new trails. Base Year: Separate data for this category unavailable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans Growth Rate: Unavailable at time of RTP 2030 preparation. Assumption Base: Unavailable at time of RTP 2030 preparation.	U
FHWA Discretionary Transportation and Community and System Preservation	Description: Grant program for projects that integrate transportation, community, and system preservation plans and practices. Base Year: Separate data for this category unavailable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans Growth Rate: Unavailable at time of RTP 2030 preparation. Assumption Base: Unavailable at time of RTP 2030 preparation.	U
FHWA Discretionary Transportation Improvement Projects	Description: Provides designated funding for specific projects identified in SAFETEA-LU. A total of 466 projects are identified, each with a specified amount of funding over the 5 years of SAFETEA-LU. Base Year: Not applicable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans Growth Rate: Not applicable at time of RTP 2030 preparation. Assumption Base: Not applicable at time of RTP 2030 preparation.	NA
FHWA Discretionary Other	Description: For any "other" FHWA funding categories not described elsewhere in the revenue template, describe here. Each "other" funding source should be described separately. Base Year: Not applicable at time of RTP 2030 preparation. Data Source: FHWA and Caltrans Growth Rate: Not applicable at time of RTP 2030 preparation.	NA

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
	Assumption Base: Not applicable at time of RTP 2030 preparation.	
FHWA Non-Discretionary Sub-Total		\$0.00
Federal Highway Administration Funding Sub-Total (*Note: FHWA IM and NHS Funds are included in State STIP totals)		\$3.656
<u>FEDERAL SUBTOTAL</u>		\$12.731
STATE		
SHOPP	Description: Funds state highway maintenance and operations projects. Base Year: FY 2003-04 Data Source: 2002 STIP Fund Estimate Growth Rate: SHOPP program increase 3.5% annually after FY 2008-09 Assumption Base: 2002 SHOPP report and the 2000 Ten-Year SHOPP Plan	\$4.166
STIP (RTIP County Shares)	Description: County portion of the STIP. Base Year: FY 2003-04 Data Source: Caltrans Growth Rate: Based on information from Caltrans Assumption Base: 75% population (2003 data) and 25% state highway miles (2002 data). Bay Area received 17.39% of the State total RTIP funds	\$2.738
STIP (RTIP TE)	Description: Transportation enhancements portion of the STIP (RTIP portion). Base Year: Unavailable; included in overall RTIP funds. Data Source: Unavailable; included in overall RTIP funds. Growth Rate: Unavailable; included in overall RTIP funds. Assumption Base: Unavailable; included in overall RTIP funds.	U
STIP (RTIP Proposition 42)	Description: County portion of the STIP from Proposition 42 revenues. Base Year: FY 2002-03 Data Source: Caltrans' November 2002, "California Motor Vehicle Stock, Travel, and Fuel Forecast" Growth Rate: Based on information from Caltrans's report Assumption Base: Based on the specified distribution formula and state budget adjustments	\$1.821
Interregional Road/Intercity Rail – (ITIP)	Description: A state funding program where Caltrans nominates and the CTC approves a listing of interregional highway and rail projects for 25 percent of	\$1.142

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
	the funds to be programmed in the STIP. Discretionary program, revenue estimate is based on the population share of the Bay Area, adjusted by the project needs in the region. DOF's long-term population projection is used for the projection.	
STIP (ITIP TE)	Description: Transportation enhancements portion of the STIP (ITIP portion). Base Year: Unavailable; included in overall ITIP funds. Data Source: Unavailable; included in overall ITIP funds. Growth Rate: Unavailable; included in overall ITIP funds. Assumption Base: Unavailable; included in overall RTIP funds.	U
STIP (ITIP Proposition 42)	Description: A state funding program where Caltrans nominates and the CTC approves a listing of interregional highway and rail projects for 25 percent of the funds to be programmed in the STIP. This would include additional ITIP revenues from Proposition 42. Discretionary program, revenue estimate is based on the population share of the Bay Area, adjusted by the project needs in the region. DOF's long-term population projection is used for the projection.	\$0.802
Garvee Bonds	Description: A Grant Anticipation Revenue Vehicles (GARVEE) bond is a financing instrument that allows states to issue debt backed by future Federal-aid highway revenues. Eligibility for projects is constrained by the underlying Federal-aid highway programs that will be used to repay debt service. Base Year: Not applicable to the MTC region for preparation of their 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable.	NA
TCRP	Description: Discretionary program, revenue estimate is based on the project needs in the region Discretionary program, revenue estimate is based on the project needs in the region	\$1.168

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
State Transit Assistance (Population Based)	<p>Description: STA is funded with 50 percent of State Public Transit (PTA) account revenues which come from the fuel sales tax. Funding distribution within California is based on a 50-50 split with 50 percent distributed by population share and 50 percent by revenue share of the transit operators.</p> <p>Base Year: FY 2003-04</p> <p>Data Source: Caltrans' November 2002, "California Motor Vehicle Stock, Travel, and Fuel Forecast"</p> <p>Growth Rate: Based on Information from Caltrans' report</p> <p>Assumption Base: Based on the specified distribution formula and State budget adjustment</p>	\$0.285
State Transit Assistance (Proposition 42 STA Population-Based)	<p>Description: Consists of Proposition 42 based revenues for STA population based funds.</p> <p>Base Year: FY 2002-03</p> <p>Data Source: Caltrans' November 2002, "California Motor Vehicle Stock, Travel, and Fuel Forecast"</p> <p>Growth Rate: Based on Information from Caltrans' report</p> <p>Assumption Base: Based on the specified distribution formula and State budget adjustment</p>	\$0.280
State Transit Assistance (Revenue Based)	<p>Description: STA is funded with 50 percent of State Public Transit (PTA) account revenues which come from the fuel sales tax. Funding distribution within California is based on a 50-50 split with 50 percent distributed by population share and 50 percent by revenue share of the transit operators. MTC STA revenue based funding is projected based on the region's transit revenue base share for FY2003-04.</p> <p>Base Year: FY 2003-04</p> <p>Data Source: Caltrans' November 2002, "California Motor Vehicle Stock, Travel, and Fuel Forecast"</p> <p>Growth Rate: Based on Information from Caltrans' report</p> <p>Assumption Base: Based on the specified distribution formula and State budget adjustment</p>	\$0.799
State Transit Assistance (Proposition 42 STA Revenue-Based)	<p>Description: Consists of Proposition 42 based revenues for STA revenue based funds.</p> <p>Base Year: FY 2002-03</p> <p>Data Source: Caltrans' November 2002, "California Motor Vehicle Stock, Travel, and Fuel Forecast"</p> <p>Growth Rate: Based on Information from Caltrans' report</p> <p>Assumption Base: Based on the specified distribution</p>	\$0.786

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
	formula and State budget adjustment	
Carryover	<p>Description: Carryover of unprogrammed STIP balances or other fund categories from the State Highway Account. Please note that carryover funds should only appear under the state funding category, and no other funding sources in the revenue table and supporting documentation.</p> <p>Base Year: Not applicable for MTC during preparation of their 2030 RTP.</p> <p>Data Source: Not applicable for MTC.</p> <p>Growth Rate: Not applicable for MTC.</p> <p>Assumption Base: Not applicable for MTC.</p>	NA
Other	<p>Description: For any "other" state funding categories not described elsewhere in the revenue template, describe here. Each "other" funding source should be described separately. Base Year: Not applicable for MTC during preparation of their 2030 RTP.</p> <p>Data Source: Not applicable for MTC.</p> <p>Growth Rate: Not applicable for MTC.</p> <p>Assumption Base: Not applicable for MTC.</p>	NA
STATE SUBTOTAL (*Note: State STIP funds include FHWA IM and NHS funding categories.)		\$13.986
REGIONAL		
Tolls, Bridge (BATA Toll Revenues)	<p>Description: Consists of toll revenues collected by BATA for bridges in the MTC region.</p> <p>Base Year: FY 2002-03</p> <p>Data Source: MTC BATA Model</p> <p>Growth Rate: Based on traffic volume data from BATA model</p> <p>Assumption Base: Historical traffic growth on the toll bridges</p>	\$2.400
Tolls, Bridge (Seismic Surcharge/AB 1171)	<p>Description: Consists of seismic surcharge revenues collected in the MTC region.</p> <p>Base Year: FY 2002-03</p> <p>Data Source: MTC BATA Model</p> <p>Growth Rate: Based on traffic volume data from BATA model</p> <p>Assumption Base: Historical traffic growth on the toll bridges</p>	\$2.421
Tolls, Bridge (Regional Measure 2)	<p>Description: Consists of revenues collected in the MTC region through regional measure 2.</p> <p>Base Year: FY 2002-03</p>	\$2.234

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
	Data Source: MTC BATA Model Growth Rate: Based on traffic volume data from BATA model Assumption Base: Historical traffic growth on the toll bridges	
Tolls, Bridge (AB664)	Description: Consists of revenues collected in the MTC region through AB664. Base Year: FY 2002-03 Data Source: MTC BATA Model Growth Rate: Based on traffic volume data from BATA model Assumption Base: Historical traffic growth on the toll bridges	\$0.066
Tolls, Bridge (Regional Measure 1 Ferry Reserve)	Description: Consists of revenues collected in the MTC region through Regional Measure 1, and dedicated to the Ferry reserve. Base Year: FY 2002-03 Data Source: MTC BATA Model Growth Rate: Based on traffic volume data from BATA model Assumption Base: Historical traffic growth on the toll bridges	\$0.012
Tolls, Bridge (Regional Measure 1 Extension Reserve)	Description: Consists of revenues collected in the MTC region through Regional Measure 1, and dedicated to the Extension reserve. Base Year: FY 2002-03 Data Source: MTC BATA Model Growth Rate: Based on traffic volume data from BATA model Assumption Base: Historical traffic growth on the toll bridges	\$0.054
Tolls, Corridor	Description: Toll revenues collected for particular corridors (HOT lanes). Base Year: Not applicable in the region at the preparation time of the MTC 2030 RTP. Data Source: Not applicable for the MTC 2030 RTP. Growth Rate: Not applicable for the MTC 2030 RTP. Assumption Base: Not applicable for the MTC 2030 RTP.	NA
Regional Transit Fares	Description: Transit fares or measures collected or imposed at a regional basis. Base Year: Not applicable in the region at the preparation time of the MTC 2030 RTP. Data Source: Not applicable for the MTC 2030 RTP. Growth Rate: Not applicable for the MTC 2030 RTP.	NA

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
	Assumption Base: Not applicable for the MTC 2030 RTP.	
Regional Sales Tax (AB 1107 ½ cent sales tax in three BART counties)	Description: Half cent sales tax imposed in three BART counties (Alameda, Contra Costa and San Francisco). By statute, MTC receives 25 percent of the sales tax revenues and administers it. Base Year: FY 2003-04 Data Source: CCSCE (Center for Continuing Study of California Economy) Growth Rate: 6.08% nominal, 2.58% real Assumption Base: Using the same growth rate as the taxable sales growth forecast from CCSCE	\$8.108
Regional Bond Revenues	Description: Bond initiatives at a regional level to fund transportation projects and improvements. Base Year: Not applicable in the region at the preparation time of the MTC 2030 RTP. Data Source: Not applicable for the MTC 2030 RTP. Growth Rate: Not applicable for the MTC 2030 RTP. Assumption Base: Not applicable for the MTC 2030 RTP.	NA
Regional Gas Tax	Description: Could include additional gasoline fees that are implemented at a regional level. Base Year: Not applicable in the region at the preparation time of the MTC 2030 RTP. Data Source: Not applicable for the MTC 2030 RTP. Growth Rate: Not applicable for the MTC 2030 RTP. Assumption Base: Not applicable for the MTC 2030 RTP.	NA
Vehicle Registration Fees (Service Authority for Freeway and Expressways (SAFE))	Description: Includes regional revenue from state registration fees for the SAFE program. Base Year: FY 2002-03 Data Source: DMV & Caltrans' November 2002, "California Motor Vehicle Stock, Travel and Fuel" Growth Rate: Based on change of vehicle stock growth, population, and auto ownership per household of the Bay Area Assumption Base: Assume the \$1 registration fee for the SAFE program stays flat all the 25-year period	\$0.119
Vehicle Registration Fees (AB434/CARB Funds)	Description: Includes regional revenue from state vehicle registration fees (AB434/CARB Fees). Base Year: FY 2002-03 Data Source: DMV & Caltrans' November 2002, "California Motor Vehicle Stock, Travel and Fuel" Growth Rate: Based on change of vehicle stock growth, population, and auto ownership per household of the Bay Area Assumption Base: Assume the \$4 registration fee for the 25-year period	\$0.335

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
Other	Description: For any "other" regional funding categories not described elsewhere in the revenue template, describe here. Each "other" funding source should be described separately. Base Year: Not applicable for MTC during preparation of their 2030 RTP. Data Source: Not applicable for MTC. Growth Rate: Not applicable for MTC. Assumption Base: Not applicable for MTC.	NA
REGIONAL SUBTOTAL		\$15.749
LOCAL		
Sales Tax, City	Description: Includes sales tax revenues dedicated to transportation purposes from municipalities in the MTC region. Base Year: FY2002-03. Data Source: Local jurisdiction specific estimates collected as part of MTC survey and included as component of overall MTC total for Local Streets and Roads funding. Growth Rate: Local jurisdiction specific estimates. Assumption Base: Information from MTC survey based on historical funding levels in local jurisdictions.	\$1.136
Sales Tax, County (½ cent sales tax for transit and existing ½ local option sales tax)	Description: Includes ½ cent sales tax for transit and local option sales taxes for select counties. Seven of nine counties in MTC region now have county sales tax measures dedicated to transportation purposes. Base Year: FY 2002-03 Date Source: CCSCE/County Transportation Authority Growth Rate: CCSCE growth rate/County specific estimates Assumption Base: Information from CCSCE/County Transportation Authority Revenue total: County total in revenue template is \$19.853 billion and is a sum of county sales tax measures in the MTC region (\$19.365 billion) and a portion of other county sales tax funds separated from MTC's category of "Local Streets and Road Gas Tax Subventions, Sales Tax and Local Contribution" in the "Project Notebook" report, as reported by MTC (\$.488 billion).	\$19.853
Sales Tax, Other (Transportation Development Act (TDA) Article 4)	Description: Includes Transportation Development Act (TDA) Article 4. The TDA is a quarter cent sales tax that is imposed statewide in California for transportation purposes. In the Bay Area, these revenues are almost	\$8.993

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
	<p>exclusively used for transit operations and capital expenses. A specific growth rate is applied to each county for its TDA revenue projection.</p> <p>Base Year: FY 2003-04</p> <p>Date Source: CCSCE</p> <p>Growth Rate: 6.19% nominal, 2.69% real</p> <p>Assumption Base: Using the same growth rate as the taxable sales growth forecast from CCSCE</p>	
Sales Tax, Other (Transportation Development Act (TDA) Article 3 & 4.5)	<p>Description: Includes Transportation Development Act (TDA) Article 3 and 4.5. The TDA is a quarter cent sales tax that is imposed statewide in California for transportation purposes. In the Bay Area, these revenues are almost exclusively used for transit operations and capital expenses. A specific growth rate is applied to each county for its TDA revenue projection.</p> <p>Base Year: FY 2003-04</p> <p>Date Source: CCSCE</p> <p>Growth Rate: 6.19% nominal, 2.69% real</p> <p>Assumption Base: Using the same growth rate as the taxable sales growth forecast from CCSCE</p>	\$0.563
Gas Tax (Subventions to Cities)	<p>Description: Subventions to local jurisdictions in region from the California state gas tax.</p> <p>Base Year: FY2002-03.</p> <p>Data Source: MTC survey of region's local jurisdictions of historical funding levels.</p> <p>Growth Rate: Region wide weighted growth rate applied by MTC to develop 25 year revenue projection.</p> <p>Assumption Base: MTC analysis.</p>	\$3.360
Gas Tax (Subventions to Counties)	<p>Description: Subventions to counties in region from the California state gas tax.</p> <p>Base Year: FY2002-03.</p> <p>Data Source: MTC survey of region's jurisdictions of historical funding levels.</p> <p>Growth Rate: Region wide weighted growth rate applied by MTC to develop 25 year revenue projection.</p> <p>Assumption Base: MTC analysis.</p>	\$3.900

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
Other Local Funds, City General Funds	Description: Includes general fund revenues dedicated to transportation purposes from municipalities in the MTC region. Base Year: FY2002-03. Data Source: Local jurisdiction specific estimates collected as part of MTC survey and included as component of overall MTC total for Local Streets and Roads funding. Growth Rate: Local jurisdiction specific estimates. Assumption Base: Information from MTC survey based on historical funding levels in local jurisdictions.	\$8.774
Other Local Funds, Street Taxes and Developer Fees	Description: Includes impact fees charged to developers in the region and local funds accruing from street taxes. Base Year: Not applicable during preparation of MTC 2030 RTP. Data Source: Not applicable for MTC 2030 RTP. Growth Rate: Not applicable for MTC 2030 RTP. Assumption Base: Not applicable for the MTC 2030 RTP.	NA
Other Local Funds, Other (AB 434)	Description: Includes local revenue from state vehicle registration fees (AB434). Base Year: FY 2002-03 Data Source: DMV & Caltrans' November 2002 "California Motor Vehicle Stock, Travel and Fuel Forecast" Growth Rate: Based on change of vehicle stock growth, population and auto ownership per household of the Bay Area Assumption Base: Assume the \$4 registration fee for the 25-year period	\$0.190
Other Local Funds, Other (Proposition 42 Augmentation to Local Streets and Roads)	Description: Includes local revenue augmentation from Proposition 42 for local streets and roads. The Proposition 42 increment dedicated to the Local Streets and Roads program is projected separately from the base revenue.	\$2.575
Transit, Transit Fares	Description: Consists of transit fares collected by transit operators in the MTC region. Base Year: FY 2002-03 Data Source: Each operator Growth Rate: Based on operator's' projections, adjusted by inflation Assumption Base: Operators' specific assumptions	\$15.148
Transit, Other Transit (Property Tax/Parcel Tax)	Description: Consists of revenue from property and/or parcel taxes on residents in the sub-regions served by transit operators in the MTC region.	\$0.648

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
	Base Year: FY 2002-03 Date Source: Each operator Growth Rate: Based on operators' estimates Assumption Base: Operator specific assumptions	
Transit, Other Transit (AC Transit Parcel Tax)	Description: Consists of revenue from a parcel tax on residents in the sub-region served by AC Transit (Alameda and Contra Costa Counties). Date Source: AC Transit Growth Rate: Increases existing tax rate from \$24 to \$48 annually; expires 2015 Assumption Base: Operator specific assumptions	\$0.120
Transit, Other Transit (BART Seismic)	Description: Consists of revenue from Measure AA, passed by region voters in November 2004. Measure AA raised property taxes to generate \$980 million in bonds needed for BART's earthquake safety retrofit. Date Source: BART Growth Rate: Based on operator's projections, adjusted by inflation Assumption Base: Operator's specific assumptions	\$0.980
Transit, Other Transit (General Fund/Parking Revenue (Muni))	Description: Consists of revenue allocated to Muni from the San Francisco general fund based on parking revenues. Base Year: FY 2002-03 Date Source: Muni Growth Rate: Muni's estimates Assumption Base: Muni's specific assumptions	\$6.041
Tolls (Golden Gate Bridge)	Description: Bridge tolls from the one non-state owned bridge in the region, Golden Gate Bridge. Base Year: FY 2003-04 Date Source: GGHTD and MTC Travel Model Growth Rate: Output from MTC's Travel Model Assumption Base: Apply the traffic growth rate to GGHTD's base year revenue	\$1.428
Other (RTEP Committed "Other")	Description: : Includes the MTC category of "RTEP Committed Other" which is a revenue source committed for transit expansion, in accordance with the MTC regional policy as described in MTC's Resolution 3434. It includes local fund sources used to partially fund transit expansion. They include "land sales and tax increment financing" in San Francisco, Port of Oakland and City of Oakland funds, salvage value from the sale of diesel engines, etc. Discretionary program, revenue estimate is based on the project needs in the region	\$1.723

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
LOCAL SUBTOTAL		\$75.432
INNOVATIVE FINANCING TOOLS		
Transportation Infrastructure Finance and Innovation Act (TIFIA)	<p>Description: Program provides credit assistance (up to one-third of project cost) for major transportation investments of national or regional significance. Credit assistance is provided through secured loans, loan guarantees or lines of credit. Project costs must be at least \$50 million or one-third of a state's annual apportionment of federal-aid highway funds, whichever is less.</p> <p>Base Year: Not applicable to MTC 2030 RTP. Date Source: Not applicable to MTC 2030 RTP. Growth Rate: Not applicable to MTC 2030 RTP. Assumption Base: Not applicable to MTC 2030 RTP.</p>	NA
State Infrastructure Banks (SIBs)	<p>Description: SAFETEA-LU now allows all states to establish infrastructure revolving funds eligible to be capitalized with Federal transportation dollars authorized through fiscal year 2009. Implementation of multistate SIBs is also permitted to assist with funding options for projects crossing jurisdictional boundaries.</p> <p>Base Year: Not applicable to MTC 2030 RTP. Date Source: Not applicable to MTC 2030 RTP. Growth Rate: Not applicable to MTC 2030 RTP. Assumption Base: Not applicable to MTC 2030 RTP.</p>	NA
Section 129 Loans	<p>Description: Similar to State Infrastructure Banks (SIBs), Section 129 loans allow states to leverage additional transportation resources and recycle assistance to other eligible projects. States have the flexibility to negotiate interest rates and other terms of Section 129 loans. When a loan is repaid, the state is required to use the funds for a Title 23 eligible project or credit enhancement activities, such as the purchase of insurance or a capital reserve to improve credit market access or lower interest rate costs for a Title 23 eligible project.</p> <p>Base Year: Not applicable to MTC 2030 RTP. Date Source: Not applicable to MTC 2030 RTP. Growth Rate: Not applicable to MTC 2030 RTP. Assumption Base: Not applicable to MTC 2030 RTP.</p>	NA
Rail Rehab and Improvement	<p>Description: Program provides loans and credit assistance to both public and private sponsors of rail</p>	NA

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
Financing	and intermodal projects. Base Year: Not applicable to MTC 2030 RTP. Date Source: Not applicable to MTC 2030 RTP. Growth Rate: Not applicable to MTC 2030 RTP. Assumption Base: Not applicable to MTC 2030 RTP.	
Private Activity Bonds	Description: Title XI Section 11142 of SAFETEA-LU amends Section 142(a) of the IRS Code to allow the issuance of tax-exempt private activity bonds for highway and freight transfer facilities. Therefore, states and local governments are allowed to issue tax-exempt bonds to finance highway and freight transfer facility projects sponsored by the private sector. Base Year: Not applicable to MTC 2030 RTP. Date Source: Not applicable to MTC 2030 RTP. Growth Rate: Not applicable to MTC 2030 RTP. Assumption Base: Not applicable to MTC 2030 RTP.	NA
Private Concession Fees	Description: States and local governments have recently begun to enter into concession agreements with the private sector. In these types of agreements, private concessionaires arrange financing, construct and maintain roadways, service their debt, and derive revenue from tolls or lease arrangements. Base Year: Not applicable to MTC 2030 RTP. Date Source: Not applicable to MTC 2030 RTP. Growth Rate: Not applicable to MTC 2030 RTP. Assumption Base: Not applicable to MTC 2030 RTP.	NA
Private Donations	Description: Donations of land, facilities, other assets from the private sector to the public sector that result in a benefit to the transportation sector. Base Year: Not applicable to MTC 2030 RTP. Date Source: Not applicable to MTC 2030 RTP. Growth Rate: Not applicable to MTC 2030 RTP. Assumption Base: Not applicable to MTC 2030 RTP.	NA
Program Income	Description: Income generated from a transportation asset that could accrue to a state or MPO (for example, sale of ITS traffic data). Base Year: Not applicable to MTC 2030 RTP. Date Source: Not applicable to MTC 2030 RTP. Growth Rate: Not applicable to MTC 2030 RTP. Assumption Base: Not applicable to MTC 2030 RTP.	NA

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
Other	<p>Description: For any "other" innovative financing categories not described elsewhere in the revenue template, describe here. Each "other" financing source should be described separately.</p> <p>Base Year: Not applicable to MTC 2030 RTP.</p> <p>Date Source: Not applicable to MTC 2030 RTP.</p> <p>Growth Rate: Not applicable to MTC 2030 RTP.</p> <p>Assumption Base: Not applicable to MTC 2030 RTP.</p>	NA
<u>INNOVATIVE FINANCING SUBTOTAL</u>		\$0.00
<u>GRAND TOTAL</u>		\$117.897

Appendix B: New Revenue Sources Documentation

New Revenue Sources Documentation: Sample RTP Table (in 20004 dollars, millions)

Revenue Source	Amount	Description	Actions to Ensure Availability	Responsible Party
Joint Development Funds from Private Sector for Transit Facility	\$.643	Private sector involvement in funding of transit facility development and operations	Pursue approvals for developer contributions, benefit assessment districts, joint development and value capture projects by this date (specify).	MPO, transit operators, local jurisdictions
Transit District Tax	\$1.36	Half cent sales tax for 20 years to pay for capital and operating costs of a commuter rail project extending from XXXX to XXXX	Sales tax for new transit district to be placed on ballot by year (specify).	Local jurisdictions (counties of XXXX), transit operators, transit district
Local Option Sales Tax	\$2.46	Quarter cent sales tax measures for 25 years in two existing counties, without such measures in the MPO region.	Local sales tax measure to be place on ballot by year (specify).	Local jurisdictions (counties of XXXX)
Regional Gas Fee	\$1.2	New five cent per gallon gasoline fee within the MPO region	MPO has legislative authority to seek voter approval for additional gasoline fees within the region.	MPO
High Speed Rail Bond	\$2.1	Statewide bond to fund construction of high speed rail infrastructure from XXXX to XXXX	Bond measure to be placed on statewide ballot by year (specify).	State Legislature, State DOT, MPO, operator

Appendix C: Revenue Sources: Availability Assumptions

Revenue Sources: Availability Assumptions and Risk Assessment Sample Presentation

Revenue Source	New or Existing	Availability Assumption	Potential Risk	Risk Mitigation
Federal Non-Discretionary Funds (apportioned) (FTA/FHWA)	Existing	Continued federal funding at current apportionment levels.	Lack of federal authorization bill upon immediate expiration of current legislation.	Funds continue on incremental basis, at historic levels
Federal Funds Discretionary (FTA/FHWA)	New	Cannot be considered a committed and available source until they are awarded by USDOT or authorized by Congress. Reasonably available based on recent past and current allocations to the region/state	Lack of authorization or award	Alternative funding sources substituted; RTP amended if needed
Local Option Sales Tax Continuing	Existing	Of seven local sales tax measures, 3 will extend throughout the life of the RTP in the amount of \$5.4 billion.		
Local Option Sales Tax Renewals	New	Of current seven local sales tax measures, 4 will need to be renewed during the life of the RTP. If they are renewed, the amount of additional revenues will be \$9.6 billion.	Renewal measures fail.	Alternative funding sources substituted; RTP amended if needed.
State Funds (specify funding category)	Existing	Continued state funding at current apportionment levels	Delay in state budget apportionments; Transfer of state transportation	Alternative funding sources substituted; RTP amended

Revenue Source	New or Existing	Availability Assumption	Potential Risk	Risk Mitigation
			funds to general fund purposes.	if needed.

Appendix D: Revenue Assessment Checklist

Revenue Assessment Checklist to Ensure Fiscal Constraint Requirements

- Does the RTP, TIP, FSTIP contain a financial plan that summarizes current and future revenue sources?
- If the financial plan and supporting details are included in a separate document from the RTP, TIP, FSTIP, is this clearly communicated?
- Is the financial plan and supporting information presented and explained in a format that can be clearly understood?
- Is the financial plan made available to the public as part of the public involvement process?
- Has the financial information in the financial plan been coordinated with all of the affected agencies (MPOs, state DOT, transit operators, local jurisdictions)?
- Are the assumptions and data sources for *each* revenue source clearly documented in the financial plan?
- Are the approaches for forecasting future revenues documented and defined?
- Are all revenue figures over consistent timeframes and fiscal years?
- Are consistent dollar values used and defined?
- Does the RTP clearly indicate which revenue sources are existing and which are new?
- Are the assumptions about the availability of current revenue sources clearly identified by revenue source?
- Are new revenue sources clearly identified?
- For new revenue sources, are the strategies to achieve these clearly documented? Are the responsible parties for these strategies identified?
- If new revenue sources are not implemented, are there identified strategies or risk mitigation approaches for how the funding shortfalls will be met?
- If innovative financing tools and techniques are used as revenue sources, are these clearly identified and documented in the RTP, TIP, FSTIP?
- Are the current and future federal funds included in the financial plan based on known or reasonably expected authorization levels?

- Are anticipated discretionary funds consistent with recent levels of discretionary funds actually allocated to the pertinent agencies/jurisdictions?
- For the TIP/FSTIP and non-attainment and maintenance areas, are only available and committed revenues included for the first two years?
- Does the TIP/FSTIP provide specific information on revenue source by program year and funding source?
- Are the financial plans for the TIP consistent with those of the RTP?
- Are the financial plans of the TIPs within the state consistent with the FSTIP?
- If the RTP includes "illustrative" or "vision elements," are the revenue sources for these clearly separate from the fiscally constrained portion of the plan?

Long-Range Plan Revenue Template Table

(2004 dollars, millions)

REVENUE SOURCES		FY2007-10	FY2011-15	FY2016-20	FY2021-25	FY2026-30	TOTAL
LOCAL	Sales Tax	see FSTIP cycle					\$30.545
	-- City						\$1.136
	-- County						\$19.853
	-- Other (Transportation Development Act)						\$9.556
	Gas Tax						\$7.260
	-- Gas Tax (Subventions to Cities)						\$3.360
	-- Gas Tax (Subventions to Counties)						\$3.900
	Other Local Funds						\$11.534
	-- City General Funds						\$8.774
	-- Street Taxes and Developer Fees						U
	-- Other (registration fees (AB434) and Prop 42)						\$2.760
	Transit						\$22.937
	-- Transit Fares						\$15.148
	-- Other Transit (e.g., parcel/property taxes, parking revenue, etc)						\$7.789
	Tolls (e.g., non-state owned bridges)						\$1.428
	Other (e.g., RTP)						\$1.723
	Local Total	see FSTIP cycle					\$75.427
REGIONAL	Tolls						\$7.187
	-- Bridge						\$7.187
	-- Corridor						NA
	Regional Transit Fares/Measures						NA
	Regional Sales Tax						\$8.108
	Regional Bond Revenue						NA
	Regional Gas Tax						NA
	Vehicle Registration Fees (CARB Fees, SAFE)						\$0.454
	Other						NA
	Regional Total	see FSTIP cycle					\$15.749
STATE	State Highway Operations and Protection Program (SHOPP)						\$4.166
	State Transportation Improvement Program (STIP)						\$6.503
	-- Regional - RTIP						\$2.738
	-- Regional - TE						U
	-- Proposition 42 - RTIP						\$1.821
	-- Interregional - ITIP						\$1.142
	-- Interregional - TE						U
	-- Proposition 42 - ITIP						\$0.802
	GARVEE Bonds						NA
	Traffic Congestion Relief Program						\$1.168
	State Transit Assistance (STA) (e.g., population/revenue based, Prop 42)						\$2.150
	Carryover from Prior Years						NA
	Other						NA
	State Total	see FSTIP cycle					\$13.987
FEDERAL TRANSIT	Federal Transit Formula						
	Urbanized Area Formula Program (5307)						\$4.623
	Nonurbanized Area Formula Program (5311)						\$0.034
	Clean Fuel Formula Program (5308)						NA
	Elderly & Persons with Disabilities Formula Program (5310)						\$0.013
	New Freedom (SAFETEA-LU)						NA
	Other						NA
	Subtotal						\$4.670
	Federal Transit Non-Formula						
	Fixed Guideway Modernization (5309a)						\$2.665
	New and Small Starts (Capital Investment Grants) (5309b)						\$1.400
	Bus and Bus Related Grants (5309c)						\$0.299
	Job Access and Reverse Commute Program (5316)						\$0.040
	Other						NA
	Subtotal						\$4.404
	Federal Transit Total	see FSTIP cycle					\$9.074

Long-Range Plan Revenue Template Table

(2004 dollars, millions)

REVENUE SOURCES		FY2007-10	FY2011-15	FY2016-20	FY2021-25	FY2026-30	TOTAL
FEDERAL HIGHWAY	Federal Highway Non-Discretionary						
	Congestion Mitigation and Air Quality						\$1.312
	Surface Transportation Program (Regional)						\$1.489
	Surface Transportation Program Enhancement						\$0.259
	Surface Transportation Program Hazard Elimination & Safety						U
	Highway Bridge Replacement and Rehabilitation Program						\$0.596
	Highway Safety Improvement Program (SAFETEA-LU)						NA
	Safe Routes to School (SAFETEA-LU)						NA
	Rail/Highway Grade Crossing Protection (USC Section 130)						U
	Federal Lands Highway						U
	Other						NA
	Subtotal						\$3.656
	Federal Highway Discretionary Programs	see FSTIP cycle					
	Bridge Discretionary Program						U
	Corridor Infrastructure Improvement Program (SAFETEA-LU Sec. 1302)						NA
	Coordinated Border Infrastructure (SAFETEA-LU Sec.1303)						NA
	Emergency Relief Program						NA
	Ferry Boat Discretionary						U
	High Priority Projects						NA
	National Scenic Byways Program						U
	Projects of National/Regional Significance (SAFETEA-LU Sec. 1301)						NA
	Public Lands Highway Discretionary						U
	Recreational Trails						U
	Transportation and Community and System Preservation Program						U
	Transportation Improvement Projects (SAFETEA-LU Sec. 1934)						NA
	Other						NA
	Subtotal						
	Federal Highway Total	see FSTIP cycle					\$3.656
FEDERAL TOTAL							\$12.730
INNOVATIVE FINANCE	TIFIA (Transportation Infrastructure Finance and Innovation Act)						NA
	State Infrastructure Bank						NA
	Section 129 Loans						NA
	Rail Rehab & Improvement Financing						NA
	Private Activity Bonds						NA
	Private Concession Fees						NA
	Private Donations						NA
	Program Income (from a federal project)						NA
	Other						NA
	Innovative Financing Total						
REVENUE TOTAL		see FSTIP cycle					\$117.893

KEY:

U = Data are unavailable.

NA = Not applicable (not a projected revenue source at the development time of RTP. Note that some of these are new SAFETEA-LU funding programs.)

NOTES:

Local: Subtotal is a sum of sales tax, gas tax, other local funds, local transit revenues, local tolls and other.

For MTC, the category of "Other" includes Regional Transit Expansion Policy fund sources.

Regional: Not all MPOs may have regional fund sources. In these cases, data would be shown as "zero" or not applicable.

The category of "Other" includes (please define if entering data).

State: Subtotal is a sum of SHOPP, STIP, TCRP, STA, Carryover and Other. STIP TE data not separately available for the MTC 2030 RTP.

The category of "other" includes (please define if entering data).

Federal: Overall federal subtotal is a sum of federal highway and federal transit programs. Federal Lands non-discretionary includes all programs except public lands discretionary (i.e., forest highways, park roads etc.) The category of "Other" includes (please define if entering data).

Innovative Finance: Toll revenues have been included under local and regional while GARVEE bond revenues are included under state.

Total: Is a sum of local, regional, state, federal and innovative finance revenue sources. Double-counting has been avoided.

SOURCES: See accompanying technical source documentation report.

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(2004 dollars, millions)

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STATE	State Transit Assistance (STA) (e.g., population/revenue based, Prop 42)						\$2.150
	Carryover from Prior Years						NA
	Other						NA
	State Total	see FSTIP cycle					\$13.987
FEDERAL TRANSIT	Federal Transit Formula						
	Urbanized Area Formula Program (5307)						\$4.623
	Nonurbanized Area Formula Program (5311)						\$0.034
	Clean Fuel Formula Program (5308)						NA
	Elderly & Persons with Disabilities Formula Program (5310)						\$0.013
	New Freedom (SAFETEA-LU)						NA
	Other						NA
	Subtotal						\$4.670
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	Safe Routes to School (SAFETEA-LU)						NA
	Rail/Highway Grade Crossing Protection (USC Section 130)						U
	Federal Lands Highway						U
	Other						NA
	Subtotal						\$3.656
	Federal Highway Discretionary Programs	see FSTIP cycle					
	Bridge Discretionary Program						U
	Corridor Infrastructure Improvement Program (SAFETEA-LU Sec. 1302)						NA
	Coordinated Border Infrastructure (SAFETEA-LU Sec.1303)						NA
	Emergency Relief Program						NA
	Ferry Boat Discretionary						U
	High Priority Projects						NA
	National Scenic Byways Program						U
	Projects of National/Regional Significance (SAFETEA-LU Sec. 1301)						NA
	Public Lands Highway Discretionary						U
	Recreational Trails						U
	Transportation and Community and System Preservation Program						U
	Transportation Improvement Projects (SAFETEA-LU Sec. 1934)						NA
	Other						NA
	Subtotal						
	Federal Highway Total	see FSTIP cycle					\$3.656
FEDERAL TOTAL							\$12.730
INNOVATIVE FINANCE	TIFIA (Transportation Infrastructure Finance and Innovation Act)						NA
	State Infrastructure Bank						NA
	Section 129 Loans						NA
	Rail Rehab & Improvement Financing						NA
	Private Activity Bonds						NA
	Private Concession Fees						NA
	Private Donations						NA
	Program Income (from a federal project)						NA
	Other						NA
	Innovative Financing Total						
REVENUE TOTAL		see FSTIP cycle					\$117.893

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The category of "other" includes (please define if entering data).

Federal: Overall federal subtotal is a sum of federal highway and federal transit programs. Federal Lands non-discretionary includes all programs except public lands discretionary (i.e., forest highways, park roads etc.) The category of "Other" includes (please define if entering data).

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SOURCES: See accompanying technical source documentation report.

U.S. Department of Transportation
Federal Highway Administration

RESOURCE CENTER
October 26, 2006

Fiscal Constraint: All About Revenues

WEBCAST SESSION
Brian Betlyon
Lisa Randall
Federal Highway Administration
Resource Center Planning Team

RESOURCE CENTER

Webcast Outline

- Federal Fiscal Constraint Requirements
- Project Overview and Objectives
- Revenue Forecasting Process
- Revenue Template
- Revenue Documentation
- Discussion and Questions

page 2

RESOURCE CENTER

Fiscal Constraint and the Plan

Long Range Plan (RTP)

- Include a financial plan demonstrating consistency with available and projected revenues
- Identify proposed new revenue sources and strategies to ensure their availability
- Revenue sources and expenditures need to balance

23 CFR 450.322(b)(11)

page 3

RESOURCE CENTER

Fiscal Constraint and the TIP/STIP

TIP/STIP (FTIP/FSTIP)

- Be financially constrained **by year**
- Demonstrate which projects can be implemented with **current** revenue sources
- Identify **strategies** for ensuring the availability of new funding sources
- In air quality non-attainment/maintenance areas, only projects with available or committed funding can appear in first 2 years of TIP

page 4

RESOURCE CENTER

Project Overview and Objectives

Purpose

Improve financial planning and the demonstration of fiscal constraint for all planning partners. Utilize MTC as Case Study.

Specific Objectives

- identification of critical attributes of documentation on revenues and costs;
- creation of key factors/checklist that can be used in the development of revenue and cost information; and
- identification of approaches and techniques for improving the documentation of financial information included in the TIP and long range plan.

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RESOURCE CENTER

Project Overview and Objectives

Revenue Phase Deliverables

Process

- collaborative process for developing revenue estimates and assumptions behind these
- Resource: See White Paper (forthcoming)

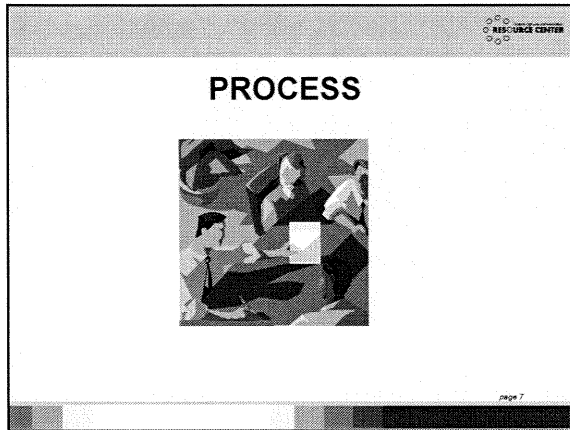
Tools

- analytical approaches and templates used to develop revenue estimates
- Resource: See Template

Documentation

- sufficient information on revenue sources and strategies for ensuring their availability
- Resource: See Documentation Paper; Appendices and **Revenue Checklist**

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Revenue Forecasting Process

General Issues (See Revenue Checklist)

- Does the RTP and/or TIP contain a financial plan summarizing current and future revenues? are there technical appendices?
- Are the financial plans for the TIP consistent with the STIP and LRP?
- Is the financial plan presented and explained in a format that can be easily understood?
- Is the financial plan made available to the public as part of the public involvement process?
- Has information in the financial plan been coordinated with all of the affected agencies (MPOs, State DOT and transit operators)?

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Revenue Forecasting Process

Noteworthy Practice: Collaborative Approaches

- Florida DOT: Twice yearly revenue estimating conferences with variety of FL state agencies
www.dot.state.fl.us/planning/policy/pdfs/revhandbk.pdf
- MTC: Collaborative process to review revenue sources, estimates and supporting assumptions through Partnership Technical Advisory Committee (PTAC). Includes CMAs, transit operators, Caltrans, FHWA and FTA)

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Revenue Forecasting Process

Noteworthy Practice: Collaborative Approaches

- MTC Local Streets and Roads Working Group
 - Established in 2001 at the request of County public works directors
 - Works with MTC staff to develop needs, costs and shortfalls for local roads
 - Conducts biennial infrastructure inventories, surveys maintenance needs and participates in cost/revenue data preparation

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Revenue Forecasting Process

Noteworthy Practice: Collaborative Approaches

- MTC Transit and Local Streets/Roads Shortfalls Task Force
 - Ad hoc group formed during development of the Transportation 2030 Plan to strategize options
 - Developed guidance for policies regarding maintenance and rehabilitation
 - Provided input on local revenues

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Revenue Forecasting Process

TOOLS

A graphic showing a person sitting at a desk, looking at a computer monitor.

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Revenue Template Tool



- Categories for local, state, federal and innovative finance
- 5-Year increments
- Some data sources may not be applicable
- Identify dollar year
- "Other" needs to be explicitly defined
- Detailed revenue information should be included in companion document

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Revenue Template Tool



Extract from Proposed Revenue Template (Local Sources)

REVENUE SOURCES	
LOCAL	Sales Tax
	– City
	– County
	– Other (Transportation Development Act)
	Gas Tax
	– Gas Tax (Subventions to Cities)
	– Gas Tax (Subventions to Counties)
	Other Local Funds
	– City General Funds
	– Street Taxes and Developer Fees
	– Other (registration fees (AB434) and Prop 42)
	Transit
	– Transit Fares
	– Other Transit (e.g., parcel/property taxes, parking revenue, etc)
	Tolls (e.g., non-state owned bridges)
	Other (e.g., RTEP)
Local Total	

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DOCUMENTATION



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Revenue Documentation



General Issues (see Revenue Checklist)

- Are the assumptions and data sources for **each** revenue source (federal, state, local, other) clearly documented in the financial plan and/or appendices?
- Are the approaches for forecasting future revenues documented and defined?
- Are all revenue figures over consistent timeframes and fiscal years?
- Are consistent dollar values used and defined?
- Does the RTP clearly indicate which revenue sources are existing and which are new?
- Are the assumptions about the availability of current revenue sources clearly identified by revenue source?

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Revenue Documentation



A Closer Look...

- Are the assumptions and data sources for **each** revenue source (federal, state, local, other) clearly documented in the financial plan?
 - Documentation provided for each source?
 - Documentation could take form of narrative or table format
 - Includes information on:
 - Funding Program/Financing Technique (description)
 - Base Year
 - Data Source
 - Growth Rate
 - Assumption Base

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Revenue Documentation



Documentation Examples: Revenue Strategies and Assumptions

- MTC: Detailed narrative of specific revenue sources and financial assumptions for estimates in Project Notebook (stand alone technical reference document in support of RTP)
- SANDAG: Detailed table in RTP on proposed strategies for new revenue sources, specific actions required, and responsible party.

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Revenue Documentation

Are the assumptions and data sources for each revenue source clearly documented in the financial plan? (Federal; FHWA; Narrative Approach)

- CMAQ: Description: Program with goals to reduce traffic congestion and improve air quality in non-attainment areas. Base Year: Average Apportionments during TEA-21 Period. Project examples include: signal coordination, park and ride lots, ridesharing, bus service expansion, and alternative transportation modes. Data Source: FHWA. Growth Rate: 3% nominal, -0.5% real. Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21 period. Revenue total: \$1.312 Billion.

Sample format using MTC Data.

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Revenue Documentation

Are the assumptions and data sources for each revenue source clearly documented in the financial plan? (Federal; FTA; Table Format Approach (See Appendix A))

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
FTA Non-Formula Program Fixed Guideway Program	Description: Description: Program funds infrastructure improvements to existing rail and other fixed guideway systems. Can include track and right of way rehabilitation, modernization of stations, rolling stock purchase and rehabilitation and signal and power modernization. Also includes modernization of ferry terminals. In general, eligible urbanized areas have populations of at least 200,000 and fixed guideway systems that are at least seven years old. Base Year: FY 2002-03 Data Source: FTA Growth Rate: 3%nominal, -0.5%real Assumption Base: Adjusted rate based on historic growth rate over ISTEA and TEA-21 period	\$2.665

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Revenue Documentation

Are the assumptions and data sources for each revenue source clearly documented in the financial plan? (State; Narrative Format)

- State Transit Assistance (STA) Program (Population Based): Description: STA is funded with 50 percent of State Public Transit (PTA) account revenues which come from the fuel sales tax. Funding distribution within California is based on a 50-50 split with 50 percent distributed by population share and 50 percent by revenue share of the transit operators. Base Year: FY 2003-04. Data Source: Annual changes in the region's share are based on the population projection from the California Department of Finance and Caltrans' November 2002, "California Motor Vehicle Stock, Travel, and Fuel Forecast". Growth Rate: Based on information from Caltrans' report. Assumption Base: Based on the specified distribution formula and State budget adjustment. Trend shows that the MTC region will lose population share compared to other region's in the state. This is reflected in the revenue projection. Revenue total: Overall STA total is \$2.150 billion which includes \$285 billion in STA population based revenues.

** Note: Aligns with "State Transit Assistance" category in template. Sum of this category will have documentation for 3 transit fund sources (STA Population Based; STA Revenue Based; STA Prop 42. Each would be documented.)

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Revenue Documentation

Are the assumptions and data sources for each revenue source clearly documented in the financial plan? (Local; Table Format Approach; See Appendix A)

Revenue Source	Revenue Projection Assumptions	Baseline Revenue
Sales Tax, County (% cent sales tax for transit and existing ¼ local option sales tax)	Description: Includes ¼ cent sales tax for transit and local option sales taxes for select counties. Seven of nine counties in MTC region now have county sales tax measures dedicated to transportation purposes. Base Year: FY 2002-03 Data Source: CCSCE/County Transportation Authority Growth Rate: CCSCE growth rate/County specific estimates Assumption Base: Information from CCSCE/County Transportation Authority Revenue total: County total in revenue template is \$19.853 billion and is a sum of county sales tax measures in the MTC region (\$19.365 billion) and a portion of other county sales tax funds separated from MTC's category of "Local Streets and Road Gas Tax Subventions, Sales Tax and Local Contribution" in the "Project Notebook" report, as reported by MTC (\$488 billion).	\$19.853

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Revenue Documentation

Are the assumptions and data sources for each revenue source clearly documented in the financial plan? (Innovative Finance; Narrative Approach)

- Private Activity Bonds: Description: Title XI Section 11142 of SAFETEA-LU amends Section 142(a) of the IRS Code to allow the issuance of tax-exempt private activity bonds for highway and freight transfer facilities. Therefore, states and local governments are allowed to issue tax-exempt bonds to finance highway and freight transfer facility projects sponsored by the private sector. Authority to issue such bonds is awarded directly by USDOT, based on a competitive, nationwide application process. Bonds themselves must be issued by a state or local government issuer. Base Year: Not applicable to MTC 2030 RTP. Data Source: Not applicable. Growth Rate: Not applicable. Assumption Base: Not applicable. Revenue total: Not applicable.

** Should ensure double-counting is avoided (e.g., some innovative financing techniques could be included under local and innovative finance. In overall revenue total, ensure that double-counting does not occur.)

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Revenue Documentation: New Sources

General issues (see Revenue Checklist)

- Are new revenue sources clearly identified?
- For new revenue sources, are the strategies to achieve these clearly documented? Are the responsible parties for these strategies identified?
- If new revenue sources are not implemented, are there identified strategies or risk mitigation approaches for how the funding shortfalls will be met?

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Revenue Documentation: New Sources

Revenue Checklist: New Sources (Sample Table for a RTP)

- Are new revenue sources clearly identified? (See Appendix B)
- For new revenue sources, are the strategies to achieve these clearly documented? Are the responsible parties for these strategies identified?

Revenue Source	Amount	Description	Actions to Ensure Availability	Responsible Party
Joint Development Funds from Private Sector for Transit Facility	\$643	Private sector involvement in funding of transit facility development and operations	Pursue approvals for developer contributions, benefit assessment districts, joint development and value capture projects by this date (specify).	MPO, transit operators, local jurisdictions
Local Option Sales Tax	\$2.46	Quarter cent sales tax measures for 25 years in two existing counties, without such measures in the MPO region.	Local sales tax measure to be placed on ballot by year (specify).	Local jurisdictions (counties of XXXX)

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Revenue Documentation: New Sources

Revenue Checklist: New or Existing Sources (Risk Mitigation)

- If new revenue sources are not implemented, are there identified strategies or risk mitigation approaches for how the funding shortfalls will be met? (See Appendix C)

Revenue Source	New or Existing	Availability Assumption	Potential Risk	Risk Mitigation
Federal Non-Discretionary Funds (apportioned) (FTA/FHWA)	Existing	Continued federal funding at current apportionment levels.	Lack of federal authorization bill upon immediate expiration of current legislation	Funds continue on incremental basis, at historic levels
Local Option Sales Tax Renewals	New	Of current seven local sales tax measures, 4 will need to be renewed during the life of the RTP. If they are renewed, the amount of additional revenues will be \$9.6 billion.	Renewal measures fail.	Alternative funding sources substituted; RTP amended if needed.

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Next Steps

- Project Phases
 - Phase I: Revenues
 - Phase II: Costs
 - Phase III: Operations and Maintenance
 - Phase IV: Final Integration
- Multiple deliverables at different phases
- Target final completion for January 2008.

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Discussion and Questions

- How is your agency performing?
- Are the process and documentation examples helpful?
- Is the template a useful tool?
- What additional tools may be needed?



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